

**NGO PARTNERSHIP AND ORGANISATIONAL SUSTAINABILITY:
AN EXPLORATORY CASE STUDY IN UGANDA**

by

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submitted in accordance with the requirements
for the degree of

MASTER OF ARTS

in the subject

DEVELOPMENT STUDIES

at the

UNIVERSITY OF SOUTH AFRICA

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OCTOBER 2018

ACKNOWLEDGEMENTS

I want to give thanks to my supervisor Dr Thomas Kroeck who provided guidance and professional feedback during the whole process of this master dissertation.

Further, I am grateful for my family and dear friends. Your motivation and your support were inspiring and a big help throughout the last years.

Above all, thanks be to God for guiding me through the time of my studies.

DECLARATION

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I declare that

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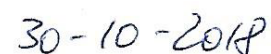
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SUMMARY

The research explored the partnership of Namutamba Rehabilitation Centre (NRC) in Uganda with its main donor, the Neukirchener Mission (NM). The review of the literature focused on empowerment, NGO partnerships and organisational sustainability. The achievements and challenges of the partnership of the NRC with the NM regarding the organisational sustainability of the NRC were identified by evaluating documents of both partners, individual interviews and focus group discussions of stakeholders of NRC.

In brief, the relationship of NRC with the NM was characterised as a dependent partnership due to the power imbalance between the partners and the resource dependency of NRC. It was recommended that the NRC and the NM focus on creating greater self-reliance of NRC while attempting to develop an authentic partnership. This might have wide reaching consequences not only for the sustainability of NRC but also for the services offered to persons with disabilities in Central Uganda.

KEY TERMS

Empowerment, NGO, Organisational Sustainability, Capacity Building, Partnership, Resource Dependency, Power Relations, Transition, Organisational Development, Uganda

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LIST OF ACRONYMS AND ABBREVIATIONS

CFI	Christliche Fachkräfte International/ Christian Services International (Christian NGO deploying development workers)
CoRSU	Comprehensive Rehabilitation Services in Uganda
GT	Grounded Theory
HDI	Human Development Index
IGP	Income generating project
INGO	International NGO
LF	Liliane Fonds
MDG	Millennium Development Goals
M&E	Monitoring & Evaluation
MoU	Memorandum of understanding
NGO	Non-Governmental Organisation
NGDO	Non-Governmental Development Organisation
NRC	Namutamba Rehabilitation Centre
NRM	National Resistance Movement (ruling political party in Uganda)
NM	Neukirchener Mission
OECD	Organisation for Economic Co-operation and Development
PR	Public relations
PWD	Person with Disabilities
SAP	Structural Adjustment Programmes
SDC	Swiss Agency for Development and Cooperation
SNGO	Southern Non-Governmental Organisation
UN	United Nations
UPMB	Uganda Protestant Medical Bureau

CHAPTER 1 INTRODUCTION AND BACKGROUND

1.1 INTRODUCTION

This study explores the practice of partnership between Namutamba Rehabilitation Centre (NRC) and its main German donor Neukirchener Mission. The idea for this study emerged out of my experience of working at Namutamba Rehabilitation Centre for children with disabilities in Uganda. The NRC is run by a national NGO providing rehabilitation services to children and youth with disabilities in Central Uganda. NRC works in partnership with the Church of Uganda and other national and international organisations. The mission of NRC is to empower children with disabilities to have equal opportunities in life by providing holistic rehabilitation services (Namutamba Rehabilitation Centre 2014:2).

The NRC is going through a process of capacity building after a period of dependency on financial support and human resources from abroad. Organisational empowerment and organisational sustainability of NRC are highlighted as prerequisites for an improvement of the mutual management of the partnership.

The study emphasises on the perspective of the NRC and its stakeholders on the practice of partnership. The stakeholders' understanding of partnership, their view on the partnership of NRC with Neukirchener Mission (NM) and recommendations for an improvement of the partnership practice are the focus of the investigations. This case study aims at developing further recommendations for the organisational sustainability of NRC. The results of the study will provide answers to the question of how this partnership influences or fosters the organisational sustainability of the NRC.

1.2 BACKGROUND TO THE RESEARCH PROBLEM

Partnerships between non-governmental organisations (NGOs) from the Global North and South are recognised as a key part of international development processes which provide benefits based on their advantages. Northern NGOs are well placed to interact with donors and undertake advocacy,

while Southern NGOs might provide local knowledge and access. On the other hand, there is much debate about “...the failure of NGOs – particularly in the North - to live up to aspirations for **ideal** [sic] partnership based on solidarity and mutuality” (Brehm 2001a:1). Imbalances in power and capabilities between partners in traditional donor-recipient relations are criticised as the reason for unequal relationships (Fowler 2000a:1-2; Hauck & Land 2000:4). Therefore, empowerment of individuals and groups is recommended as a vital element to develop strong organisations for adequate self-reliance and partnerships (Fowler 1997:9, Fowler, Campbell & Pratt 1994:6). Partnerships for development are expected to be dynamic and to change over time (Rein, Stott, Yambayamba, Hardman, & Reid 2005:8). When supporting partners withdraw or funding stops, the organisational sustainability of the resource depending NGO becomes an issue (Myers 2011:193).

A UNICEF research study (2014:3) states that there are approximately 2.5 million children living with some form of disability in Uganda. Only 10-20 % of children with disabilities have access to rehabilitation services. The rights of children with disabilities are recognised in Ugandan legislation and policies, but the regulatory framework is not fully implemented (:38). In this context, the NRC is one of the few places in the rural area of Uganda where medical rehabilitation is available. NRC receives clients from four neighbouring districts and beyond. Transport difficulties and lack of finances are the reason that families are not able to access comprehensive rehabilitation services in the capital city which is the only place they are available (NRC 2016:9).

The NRC was founded by a German missionary but registered as a Ugandan NGO. For about twenty years the NRC relied on financial support and human resources from Germany. There were repeated efforts to transfer responsibility to Ugandan leaders in the past. Unfortunately, these efforts failed, and the NRC continued under its German patronage. Over the last few years, a transition phase was planned to enable Ugandan nationals to take over full administrative responsibility, while the influence of the German support organisation decreased (Neukirchener Mission 2013).

NGOs in Uganda are recognised as mostly donor-dependent with limited autonomy. The effect is that local issues are often not prioritised, and the impact

of NGOs is reduced. Dependency is caused by a lack of local funding. NGOs accept Western donor funding, which consequently influences their policy direction (Muhumuza 2010:9). The proposed review of the partnership between the NRC and the donor organisation aims at supporting the ongoing process of organisational empowerment of the local organisation.

1.3 STATEMENT OF RESEARCH PROBLEM

Partnerships in international development have been debated intensely. Partnerships promise much benefit but fail to meet such expectations (Brehm 2004:1). This gap between rhetoric and reality of partnerships was recognised by the research of Contu and Girei (2014:205) in Uganda. They state that partnerships are reproducing relations of inequality, subordination and oppression. In the past, the control of the partnership process of NRC was mainly in the hands of the German partner. This characterises a dependent partnership constructed with assumptions of comparative advantages for both partners but led by individual agency interests (Ahmad 2006:630). The focus of this study is to shed light on partnership from the perspective of the Southern partner. The exploration of this view is expected to increase the process of negotiation, debate and learning between the NGOs.

The aim of the partnership is to enable the NRC to fulfil its mission and to meet the needs of persons with disabilities (PWD) and to assist with rehabilitation in the region. The goal of the NRC is to become a sustainable organisation. This goal was not explicitly stated in the beginning of the partnership but emerged with time. There has been little evidence of strategic plans and reviews of the partnership in the past regarding organisational sustainability (Neukirchener Mission 2016). The study of the relationship will help to identify areas of the partnership that may need to change in order to reach this goal.

While working there, the researcher realised the need to explore the partnership of NRC with the NM to better understand the relationship of the NGOs. Representatives of the partner organisations welcomed the idea of the study as they do not have sufficient human resources to undertake this research. In addition, the sustainability of NRC is realised as a key challenge

by the NM. Without further plans for sustainability of NRC the Centre is facing the threat of closure (Maurer 2014).

The exploration of the partnership will provide recommendations to answer the question of how the NRC can become a sustainable organisation.

The research focuses on the following question:

How beneficial is the practice of partnership with the donor organisation for the development of organisational sustainability of NRC?

In other words, how useful or helpful is the partnership for the sustainability of NRC?

Sub-questions are:

- What form of partnership was developed between NRC and the donor organisation?
- What are the views and experience of stakeholders of NRC regarding the partnership?
- Which factors of the partnership contribute towards the organisational sustainability of NRC?

The main objective of this research is to review the current practice of partnership of Namutamba Rehabilitation Centre and the major donor in order to develop recommendations for the sustainability of the local organisation.

The secondary research objectives read as follows

- To explore the practice of partnership of NRC with the donor organisation
- To find out the attitude of staff and stakeholders of NRC regarding the partnership of NRC and the donor organisation
- To identify achievements and challenges of the NGO partnership regarding the organisational sustainability of NRC
- To recommend strategies for organisational sustainability of NRC
- To review the literature on NGO partnerships and organisational sustainability.

1.4 SIGNIFICANCE OF THE STUDY

This study will provide a review of the current practice of partnership in a specific case study. The aim of the study is to answer the research question and to develop recommendations for the sustainability of the NRC as practical impact.

The literature review shows that development NGOs have received less in-depth research attention than other development issues (Lewis & Kanji 2009:3). Fowler (2000b:178) notices a lack of written evidence and knowledge about transition in non-governmental development organisations. There is a specific need for further research on the topic of cross-sectoral partnership in development because there is not yet a “significant body of critical analysis” on the impact of partnerships. Partnerships are of special research interest because of their significant role in development and in the complex dynamics of their networks. Additionally, issues raised by partnerships affect individuals, groups and organisations involved. Also, the wider context of the partnership and policy at local or national level might be affected. (Rein et al 2005:2)

The research of this particular case study will give a better understanding of the influence of partnership processes on the sustainability of NRC. The lessons learned in the assessment of this case can contribute to the general knowledge about organisational sustainability of development NGOs. The practical implication of this study will possibly guide the decisions of the donor organisation as to how to continue the collaboration with local NGOs. This might have wide reaching consequences for the sustainability of NGOs but also for the services offered to persons with disabilities in Central Uganda.

1.5 DEFINITION OF TERMS

The clarification of terms explains the meaning of concepts used within the context of this research.

Empowerment

Regarding this study, empowerment is defined according to Narayan (2002:18): “Empowerment is the expansion of assets and capabilities of poor people to participate in, negotiate with, influence, control, and hold accountable

institutions that affect their lives". The four key elements of empowerment of poor people as "partners and initiators of development" are access to flow of information in the society, inclusion and participation in decision making, the accountability of agencies towards citizens and the strengthening of the capacity of local organisations.

Sustainable development

Sustainability is "a property of complicated systems linking human behaviour to the natural environment" (Fowler 2000b:10). There are simple and complex systems interacting with each other. The ecological, the economic and the social system are part of sustainable development. Interventions for the benefit of marginalised people have to be supported by movements in all three systems in order to be sustainable. In regard to NGOs, sustainable development means to ensure that all their interventions are sustainable and to be aware of the consequences their interventions have on other levels of sustainability (:12).

NGOs

Organisations are described as "purposeful, role-bound social units" (Fowler 1997:20). An NGO is a private, non-profit distributing organisation or agency that is engaged in humanitarian or development work in order to promote social, political or economic change. NGOs may work on local, national or international level (Lewis & Kanji 2009:11).

Organisational sustainability

Sustainability as an NGO refers to fulfilling its mission over time and meeting the needs of the key stakeholders. It is an ongoing process that involves the interaction between strategic, organisational, programmatic, social and financial elements (Hailey 2014:1). Changing from dependency to independence is recognised as an essential element of sustainability of an organisation (Fowler 2000:17).

Capacity building

Like other development concepts, capacity building is used in different ways without a shared understanding. Fowler (1997:188) differentiates three concepts to increase capacity: organisational, sectoral and institutional development. Organisational development strengthens the ability of an NGO to

perform specific functions, which improves the direct impact and the sustainability of the NGO. Organisational development as one form of capacity building will be the focus in this study regarding the sustainability of NRC.

Authentic Partnership

“A partnership is an agreement to do something together that will benefit all involved, bringing results that could not be achieved by a single partner operating alone, and reducing duplication of efforts” (OECD LEED 2006:7). Resources might be used more efficiently, and innovation promoted more easily in partnerships. The partners need a strong commitment towards the partnership clarified in an agreement upon the principles of the partnership. According to Fowler (2000b:4) the following features are ascribed to authentic partnerships:

- working together in joined responsibility and mutual roles to achieve agreed results
- long-term involvement as a covenant not as contract
- trust, respect, equality but also integrity and accountability
- the spirit and letter of an existing partnership must be respected in case of negotiating further relationships.

1.6 OUTLINE OF STUDY AND CHAPTER CONTENT

The brief chapter layout provides the structure of the study according to the current UNISA model.

Chapter 1 Introduction

- Background of the research problem
- Statement of research problem and research question
- Significance of the study and definition of terms

Chapter 2 Context of the Case study

- Role of NGOs in development cooperation
- Facts about socio-economic conditions in Uganda
- Context of the NRC and the partnership

Chapter 3 Literature review and conceptual framework

- Concept of empowerment
- Empowerment and organisational sustainability
- NGO partnership and empowerment

Chapter 4 Methodology and ethical considerations

- Research design
- Methods of data collection: analysis of documents, expert interviews and focus groups
- Process of data analysis
- Limitations of methodology
- Ethical considerations

Chapter 5 Results of data analysis

- Findings from project documents, expert interviews and focus group discussions
- Triangulation of data

Chapter 6 Conclusions and recommendations

- Discussion of the results of the study
- Recommendations for the organisational sustainability of NRC
- Recommendations for further research

1.7 CONCLUSION

This chapter provided the background of this case study. The statement of the research problem and the significance of the study were elaborated on. The overview of key concepts and the outline of the chapters were given. This case study will provide a better understanding of the influence of partnership processes on the sustainability of NRC and contribute to the general knowledge about organisational sustainability of development NGOs. The following chapter focuses on the context of the case study and highlights the role of NGOs in development cooperation specifically in Africa. It provides details about the history of NRC and the partnership of NRC with NM.

CHAPTER 2 THE CONTEXT OF THE CASE STUDY

2.1 INTRODUCTION

This chapter gives an overview about the history of non-governmental organisations (NGOs) in the context of development cooperation in Africa, especially in Uganda.

The chapter also provides an overview of Uganda as a country, the history of the Namutamba Rehabilitation Centre (NRC) and the partnership with the Neukirchener Mission (NM) through a review of literature and documents of the partner organisations.

2.2 THE ROLE OF NGOS IN DEVELOPMENT COOPERATION

In the literature NGOs are characterised as organisations which are not run by the government and not driven by profit making motives. NGOs represent an “element of global society” (Agg 2006:3). They have become important actors in development, because NGOs are concerned with the promotion of social, political or economic change. The main role of NGOs is recognised as either delivery of basic services to people in need or organising political advocacy and campaigns (Lewis & Kanji 2009:1,11).

The role of NGOs in international development cooperation varies greatly by country and region. It is dynamic and changing according to the strategies applied. The role of NGOs changes as NGOs themselves grow or develop. The priority to address immediate needs might develop into building self-reliant development initiatives. Later, a stronger focus on sustainability might arise with growing interest to influence the wider policy context. Finally, NGOs might become closely linked to social movements. (Agg 2006:3; Korten 1992:91; Lewis & Kanji 2009:15)

The roles of NGOs are characterised by the following three main sets of activities they perform: The *implementer* role is defined by the mobilisation of resources for the provision of services or goods by the NGOs own project or other agencies. The *catalyst* role is defined as an NGOs capacity to contribute and facilitate towards developmental change among other actors or individuals. The role of a *partner* refers to NGOs working in cooperation with other

development actors, donors and governments which is a growing trend. (Lewis 2005:68)

2.2.1 History of NGOs

The history of NGOs goes back to the first issue-based organisations at national level in the eighteenth century. The first organisations were focused on the abolition of the slave trade and the peace movement. NGOs gained more influence on an international level through the League of Nations in the 1920s and 1930s, and after the Second World War through involvement in United Nations (UN) activities. Still, NGOs did not contribute much due to political reasons. In the 1970s the strength of NGOs was intensified through their presence at UN conferences. "Since 1992, NGO influence at international level has continued to grow" (Lewis 2005:40).

In the 1940s a new type of NGO came into being in the Global North: For example, OXFAM and CARE were founded to provide relief for victims of World War II in Europe (Lewis 2005:30). These organisations offered a new model of NGOs. Their NGO-character was secular, humanitarian and ideologically based, having autonomy on their perspectives and activities. After the independence of the African countries the door was opened for many of these foreign NGOs. They provided not only development services but also models for non-profit service delivery reflecting Northern values (Fowler, Campbell & Pratt 1992:9).

The growth of African based NGOs funded by the West was strongly shaped by colonialism and post-colonial politics of development. Christian welfare organisations provided an initial model for non-state service delivery during colonialism. They often allied with colonial interests. On the opposite side, indigenous welfare organisations developed in response to colonial oppression. These organisations mediated between indigenous peoples and the colonial government and were the starting point of many political parties in Africa. The era after the African countries had achieved independence left little space for independent indigenous NGOs. The main effort of the government was focused on nation-building. The single political party of a state would represent "everyone". The NGO autonomy was regarded antithetical to the national development ethos. Resources were concentrated in government institutions

to prove that development was done by the state. Therefore, many NGOs sought foreign support. The given assistance from Northern development actors was associated with conditions and priorities set by the funders. Through this development assistance and its implications many African NGOs were formed as “mirrors of the North“. (Fowler, Campbell, Pratt 1992:9-10)

In the beginning of the 1980s the number of development NGOs exploded in sub Saharan Africa. This boom was caused by the introduction of structural adjustment programmes (SAP) across Africa and the reduction of state involvement in service delivery. The SAP imposed by international financial institutions disengaged the states from providing social services to the population. So, NGOs took over the work of the state as they were supported by international funding to construct a ‘safety net’ of social services to the vulnerable. Consequently, the involvement of Northern NGOs in Africa grew, and the service delivery was provided mainly by NGOs. (Holmén 2010:51; Shivji 2007:7-8)

Another reason for the growing number of NGOs in Africa was a shift in development discussions. The appeal of ‘modernisation’ as development theory was lost and the search for alternative ideas and different development actors began. As a consequence, Western NGOs gained a high profile within development in the 1980s (Lewis 2005:30).

Since then, the NGO approach has been used frequently by development actors “to lift Africa out of poverty” (Holmén 2010:7). As a result, there was a high number of newly registered NGOs in Africa in the 1980s and onward. Not only the organisational birth-rate but also the extinction rate of non-sustainable NGOs was high. One reason for this is that most NGOs were created by foreign donors according to their demand. Also, the funding practices and priorities of development agencies influenced the growth of NGOs (:86-87).

The size of the NGO community within many African countries is in no relation to the national economic base. African service NGOs are recognised to be separated from the local economic reality and the local resource base. They appear disconnected from traditional social organisations. Reason for this is the divorce of NGOs from those groups they were set up to serve. Instead of

this expected embeddedness in the local community, African service NGOs tend to reflect the structure and culture of their Northern partners (Fowler, Campbell, Pratt 1992:9-10).

In this way Southern NGOs developed a dependency syndrome relying on their Northern partners. Local NGOs became dependent on foreign financing due to financial constraints. Holmén (2010:91) states that around 80 percent of total NGO sector funds in Uganda come from international grants. Contributions from members and local private donors in Uganda make up less than 3 percent. The support of international donors is often attached with external agenda setting and programs that reflect the priorities of the donor agency. This kind of foreign support limits the chance for empowerment and development from below. Local leaders want to please the foreign donor organisations and in turn become less accountable to their communities (Brehm 2001:50). This practice also has consequences on NGO partnerships. When funding plays a key part in the relationship, the role of the Northern NGO as donor becomes a major obstacle to achieving equality. The control over resources creates an imbalance in the power relations of the partners. Partnerships between NGOs in Africa are mainly built around funding and so recognised to be unequal and with strong evidence of paternalism. Donors might take over some control functions and distort the local accountability. (Brehm 2001:44,52; Holmén 2010:91)

2.2.2 Forms of NGOs

NGOs are a very diverse group of organisations which make generalisations difficult. NGOs play different roles and have various shapes depending on the country context they are working in (Lewis & Kanji 2009:2).

A simple NGO typology of voluntary development organisations in Africa is provided by Fowler, Campbell and Pratt (1992:8). They differentiate the following types of NGOs:

Community-based organisations are set up by a group of people for their own benefit. Many of these NGOs are informal in nature and fulfil traditional functions. Others are formal and recognised by the development system of the state.

Membership NGOs are owned by the group that benefits from the services the organisation provides. For instance, cooperatives as member-based organisations fall into this category.

Service or intermediary NGOs are characterised as not set up or controlled by their beneficiary group. Most of these NGOs provide development services in different sectors, such as health care or water supplies. They are legally registered NGOs with paid staff.

2.2.3 Strengths and weaknesses of NGOs

NGOs are recognised for providing people centred development and fostering local participation. On the one hand, NGOs promise to be flexible and cost-effective alternatives to public sector service delivery that provide capacity for innovation and possibilities for adjustment to changing circumstances. On the other hand, the lack of accountability of NGOs, their private character and the missing evaluation of their impact on poverty reduction is criticised. (Lewis & Kanji 2009:16,22; Nega & Schneider 2014:488)

There is a set of advantages that NGOs have in common. They are presumed to be closer to the target group than state institutions. NGOs are ideally rooted in the community and reflect the interests of the community. As most NGOs work directly with the population they are serving, they are expected to have a better understanding of the problems of their target group. NGOs often use a participatory approach to involve the community in their development work. This gives NGOs the opportunity to provide sustainability to a project even after the organisation that initiated the project is gone. (Nega & Schneider 2014:488; Rugendyke 2007:6)

NGOs are criticised as being more concerned with their own organisational sustainability instead of the well-being of the community in which they work. They may become unaccountable to their target group and follow their own agenda. NGOs are under criticism for undermining or duplicating efforts of the state or become “willing instruments” of inequitable Western international agendas (Lewis & Kanji 2009:206).

NGOs are recognised as important “vehicles for change” in the process of empowerment if they seek to enable the poor to reacquire control over their

own lives and resources (Friedmann 1996:7,72). The assumption that NGOs are democratic institutions is questioned in the literature (Holmén 2010:92). Competition and mistrust between indigenous NGOs themselves and their foreign partners are recognised frequently. Also, Dicklitch (1998:3) criticises that NGOs are not “viable vehicles for African democratization” and provides evidence from Uganda: which include inhospitable structural conditions, regime restrictions and internal limitations hindering the democratic promise of NGOs. The empowerment function of NGOs is undermined by the current political climate of neo-liberalism in Africa. The economy encourages privatisation, and the supremacy of the market while NGOs are increasingly implementing service-provision and gap-filling activities. The political climate determines how NGOs fit into development plans. NGOs are not able to lobby for change and empowerment but have the role to provide services which the state fails to provide. These gap-filling NGOs tend to be narrowly focused on certain practical but not political activities (Dicklitch 1998:3,27).

Current research by Nega and Schneider (2014:499) shows that NGOs have failed to serve as “drivers of economic development” due to the following problems: the small size of NGOs, their ineffectiveness to promote structural change and to solve societal problems such as poverty. For instance, the Grameen Bank showed the potential to scale up an NGO initiative but failed to solve large-scale societal problems (:493). NGOs often weaken the state by drawing away resources and skilled personnel or undermine support for state-led development. NGOs might also support and help to preserve corrupt dictatorships.

2.3 UGANDA

2.3.1 Socio-economic conditions in Uganda

Uganda covers an area of about 240 000 km² of which about a third comprises of fresh water bodies and wetlands. Uganda is rich in natural resources with a favourable tropical climate, abundant rainfall, and two growing seasons over much of the country (National Planning Authority 2017:18; USAID 2018:1).

Uganda is categorised as a peaceful, stable and secure country under a multi-party democratic dispensation with a decentralised governance system. The

country has one of the youngest populations in the world with nearly half of them below the age of 15 and a total population estimated at 37.7 million people in 2017. Uganda has a high total fertility rate. However, it declined from 7 children per woman in 1995 to 5 children per woman in 2016. This rate results in an unfavourable demographic profile made up largely of dependant persons. (Uganda Bureau of Statistics 2017:13-15; National Planning Authority 2017:2)

Uganda is considered to have one of the fastest growing economies in Africa. The following key sectors of the economy contribute to the GDP: agriculture, forestry, fishing, industry and services. Real GDP growth averaged 7% per year during the 1990s and early 2000s. Recently, the economy has grown at a slower pace. Average annual growth was 4.5 % between 2011 and 2016. The slowdown was influenced by adverse weather, unrest in South Sudan, private sector credit constraints and poor execution of public projects. However, real GDP growth is expected to be above 5 % in 2018. (Ministry of Finance, Planning and Economic Development 2013:6; World Bank 2018)

The government of Uganda is aiming at making Uganda a “modern and prosperous country by the middle of the century”, as reflected in the Vision 2040 (National Planning Authority 2017:3). This high aim is constrained by the following challenges: low competitiveness, weak public-sector management, ideological disorientation, low industrialisation, corruption, underdeveloped human resources and, inadequate infrastructure among others (:5). Uganda wanted to graduate as a lower middle-income country by 2017 (:8). The World Bank (2016:10) comments that Uganda has benefited from favourable conditions in the last decades. That is seen particularly in agriculture, because most households earn income in informal, low-investment, low-productivity activities such as traditional crop farming and small-scale retail trading.

Uganda is put in the low human development category with a Human Development Index (HDI) value for 2017 of 0.516, positioning it at 162 out of 189 countries and territories (UNDP 2018:2). Regarding the Millennium Development Goals (MDGs), Uganda achieved the first MDG target more than five years ahead of the 2015 deadline and halved the proportion of people below the national poverty line (MoFPED 2013:2). But in 2013, more than a third of its citizens lived below the international extreme poverty line of US\$

1.90 a day. It is criticised that the poverty line was set many years ago and does not reflect the reality in which many Ugandans live (World Bank 2016:10).

The country is still dependent on external support, which accounts for about 45% of the health expenditure of the country. In 2011/12 the general government expenditure on health of US\$ 9 per capita was short of the planned target of US\$ 17 per capita, well below the WHO recommendation of US\$ 34 (WHO 2016:7). On the side of education, Uganda has low Primary school completion rates, 53 percent in 2016, much lower than countries with similar income levels. (World Bank Group 2016:11; World Bank 2018a)

Uganda was characterised by civil war and political instability for most of its post-colonial history up to 1986 (Dicklitch 1998:31). Since the National Resistance Movement (NRM) came to power in 1986, Uganda has undertaken an ambitious set of economic and political reforms, so much so that the country has been called a “public sector reform leader” in Africa (Katusiimeh & Kangave 2015:1). The reform program that started in the 1990s was initially successful but was later undermined. The national leadership gave power to a group which was tied to the President and aimed at preserving patrimonial policies (Holmén 2010:66). So, the reform efforts were reduced by political interference from the ruling elite that weakened civil society participation and democratic accountability (Katusiimeh & Kangave 2015:16).¹

A multi-party system of governance was adopted in Uganda as in many African states, whereby the existence of multiple parties was presumed to be equal with democracy. The multi-party democracy continues to take root in Uganda according to official information since 2005 (MoFPED 2013:5). Restrictions on party activity were upheld from 1986 up to 2003. Then the country opened for multi-party politics due to internal conflicts between factions of the NRM. At the same time other constitutional changes enabled the executive to remain in power. In the same way, African parties appear to be “vehicles for party leaders”

¹ “Corruption remains one of Uganda’s major challenges. It increases the cost of doing business and negatively affects service delivery” (National Planning Authority 2017:22). According to the Corruption Perceptions Index 2017, Uganda currently ranks 151 out of 183 countries surveyed (Transparency International 2018).

with little room for internal democracy. (Dicklitch 1998:19; Makara, Rakner & Svåsand 2009:186,200)

2.3.2 NGOs in Uganda

For many decades NGOs have operated in Uganda especially in the health and education sectors, in relief and charity activities. The NGO sector in Uganda has seen a phenomenal growth from 160 NGOs in 1986 to more than 7000 active NGOs in 2010 (Holmén 2010:87; Ministry of Internal Affairs 2010:10).

The Ugandan Government recognises NGOs as important players in accelerating the country's development process. NGOs have a key role in service delivery particularly to marginalised groups (MIA 2010:1). There is evidence that indigenous and foreign NGOs are involved in poverty-alleviation and service provision in Uganda (Dicklitch 1998:168). The national NGO policy aims at "strengthening the partnership between Government and the NGO sector" (MIA 2010:2). The coordination of the NGO sector activities is done by an NGO Board but needs to be improved to strengthen the roles of NGOs in national development (:8).

In the National NGO Policy of Uganda, the government recognises the role NGOs play in service delivery and improving the accountability of public institutions (MIA 2010:1). On the one hand, it is a positive sign that NGOs exist in Uganda and are involved in advocacy and empowerment initiatives. On the other hand, there are doubts as to whether they really are in a position to improve the accountability of public institutions (Dicklitch 1998:168).

The political environment in Uganda limits the role NGOs can play to empower NGO members and communities. The Ugandan government tries to include NGOs into its national development strategy, but the NGO sector in Uganda remains uncoordinated and disorganised. The Ugandan NGO Registration Board monitors and registers NGOs and so limits the influence of indigenous NGOs in the political sphere (Dicklitch 1998:24,167). On the one hand, NGOs are valued by the government as means of bringing in "additional financial, technical and sometimes political resources to complement the efforts of the State" (MIA 2010:13). On the other hand, registered NGOs are supported by the government, for instance by extending tax exemptions against financial

constraints they face. This and other benefits should help NGOs to enhance access to resources (:33).

For most indigenous NGOs it is impossible to secure a stable local source of funding in Uganda. Most NGOs depend on foreign funding for their continued existence. This leads to dependency on donors and competition between NGOs for these resources (Dicklitch 1998:28; Muhumuza 2010:9). “High donor dependence highlights the fragility of the local NGO sector and weak sustainability of its program activities” (MIA 2010:13). In addition, the government demands that stakeholders identify ways to improve institutional sustainability of local NGOs (:33).

Partnerships between Ugandan and international NGOs were investigated by Contu and Girei (2014:205). They argue that these partnerships often reproduce relations of inequality instead of rebalancing unequal relationships. International NGOs set conditions for partnerships and following this, the attention of Ugandan NGOs is directed towards donor demands. The flow of money provides an asymmetric power relationship between the NGOs. This is the reason that relationships might be called ‘partnership’ but do not prove to be a mutual, reciprocal relation of equals (:226). Initiatives of NGOs in Uganda tend to be largely shaped by donor agendas instead of local issues. NGOs focus on the requirements for donor funding instead of issues of local importance for their target group. Muhumuza (2010:9) argues that this process reduces the impact of NGOs.

2.4 THE NRC AND THE PARTNERSHIP

2.4.1 The history of NRC

NGOs are regarded as dynamic and evolving organisations. The history, experiences and values of the organisations shape their future (Eade 1997:128). The background behind the NRC’s identity, values, rules, norms and its management of accountability will be highlighted in the following section.

The foundations of Namutamba Rehabilitation Centre were established by a German missionary in the early 1990s. He was surprised to find no disabled children when he came to Uganda. He realised that disabled people were hidden and stigmatised. This prompted him to build a home for disabled

children to take care for them and to counsel their parents. The home was opened in 1995 as an NGO under the name “Light of Jesus for handicapped children”. The home was run by Ugandan staff members with a group of German donors supporting the NGO. The focus of the NGO was to improve the living conditions of children with disabilities and to organise medical treatment when necessary.

Three years later, the founder had to look for an organisation to take over all responsibilities of the project. Eventually, the Neukirchener Mission together with other partners started to restructure the former home into a Rehabilitation Centre. In 1998, the NGO was registered as Namutamba Rehabilitation Centre. Since then, more programs to provide medical rehabilitation, teach parents, support schooling, vocational training and other activities were started (Nakafunvu 2013).

The following timeline gives an overview about important events in the history of NRC regarding the leadership of the Centre.

TABLE 2.1: HISTORY OF NRC

1995	Opening of the home for disabled children “Light of Jesus for handicapped children” as NGO
1998	Change to “Namutamba Rehabilitation Centre” in cooperation with NM and other supporters
1998-2002	First Ugandan Director
2002-2005	Second Ugandan Director
2005-2016	Several German leaders
From 2016	Third Ugandan Director of NRC
From 2016	German coach for administration sent by CFI for 3 years

2.4.2 NRC Profile

According to a typology of African NGOs by Fowler, Campbell and Pratt (1992:8) mentioned under 2.2.2, the NRC is categorised as a service NGO. The NRC is a legally registered NGO that provides development services in the

health sector but was not started or controlled by the beneficiary group which are children and youth with disabilities in Mityana, Mubende, Kiboga and Kyankwanzi District.

The NRC was established as an externally initiated NGO, assisted by the NM which provides conceptual, technical, and financial support. Externally initiated NGOs are characterised by the availability of outside technical assistance and provision of experience by the founding organisation. The external financial support enables the NGO to establish a new service and to take greater risks. The NRC was started to provide for “locally perceived needs” of children with disabilities “around a development approach designed by others” (Avina 2002:126,131).

Since 2016 the NRC must be categorised as a national non-governmental organisation. This is an NGO that is “wholly controlled by Ugandans, registered exclusively within Uganda and with authority to operate within or across two or more districts in Uganda” (MIA 2010:12). The NRC substitutes the provision of basic social services for the government, as the state is not able to reach the marginalised in rural areas due to financial problems and structural weakness (Baccaro 2001:16,31).

The following profile situates the NRC within its context and indicates its potential to empower poor people (Eade 1997:116).

- The NRC is founded by a Christian philanthropist with a strong vision. He set the precondition that the initial NGO should continue as an organisation for the welfare of children with disabilities and for the glory of God (Nakafunvu 2013).
- The origin of the institution is marked by the support of a 'parent' NGO, the NM.
- Field of action: health and community work.
- The social focus is on disabled children.
- The scope is regional as the NRC is working in four districts.
- The activities aim at holistic rehabilitation and networking with similar organisations.

Further characteristics of the NRC regarding the organisational form and ways of working according to Eade (1997:117) are the following:

- Formal identity: NGO
- Source of funding: international NGOs, user fees, fundraising efforts, local and foreign donations, financial support of local district
- Scale of budgets: monthly donations to cover expenditures
- Staffing arrangements: professional staff, occasionally volunteer support
- Staffing profile: proportion of women and men (7/5), and average age (40.1) mixed ethnic composition of staff at all levels; recruitment policies in place
- Decision making structure: elected Board of governors, executive management (consists of: Director of NRC, Medical Department leader and coach of administration).

According to Hailey (2000:405) the following indicators might be used to assess organisational values of NRC:

- Growing capacity to promote internal learning
- Medium degree of transparency
- Different levels of accountability (high towards donors; lower towards community)
- Community has not much involvement in decision-making, planning, or programme evaluation (not participatory), though the NRC is embedded in the local society (Nakafunvu 2017).

2.4.3 The partnership with NM

The following overview provides a timeline with details about the development of the partnership of the NRC with the NM (Table 2.2). From 1997 to 2008 there were not many changes in the partnership. From 2008 the self-reliance of NRC was discussed, and external advice sought. General plans for handover of administrative responsibilities started in 2011. In 2016 the handover took place.

TABLE 2.2: PARTNERSHIP TIMELINE NRC-NM

1997	Consultations about handover of the institution to NM
1998	First constitution of NRC with a Ugandan and German Board sharing responsibilities, NM provides most financial support
2008	Statement of NM to support the NRC until 2010, plan for more self-reliance of NRC
June 2010	First meeting with external advisor of NM regarding takeover of NRC by Ugandan leadership
2010	Board of NM: clarification of land issues, suggestion for partnership agreement
2011	Amendment of NRC constitution (land issues, cooperation with Church of Uganda clarified)
September 2011	NM starts to work on general plans for handover of NRC
2012	Land issues of NRC clarified
October 2012	Memorandum of understanding NRC-NM with regulations of the contribution of each organisation towards the partnership
September 2013	Visit from NM representative at NRC, evaluation of the situation at NRC, suggestion of strategic paper for handing over
November 2013	Strategy paper of NM for handing-over of NRC and time table. The NRC leadership disagrees with the suggested time table.
January 2014	NM Board: handover timetable needs to be adjusted
2014	NM report of achievements in handing over process (3 years' time frame of NM for takeover was not applicable)
March 2014	Second meeting with external advisor of NM.
October 2015	Tasks and role of German advisory group adjusted:
December 2015	Planning meeting with coach for administration
June 2016	Visit from NM representative at NRC, letter from NM to explain hand over and future

The following partnership baseline matrix gives a detailed understanding of the nature of the partnership between the organisations (Sterne, Heaney, Britton [sa]:17). It includes the context of the partnership and its direction. The external environment is reflected in financial, legal and institutional considerations that shape the scope of the partnership. The organisational environment is reflected in each partner's mission, strategy and capacity. This involves the resources shared, the opportunity presented, and the level of risk they are willing to undertake. Also, the individual partner representative's incentive to engage, determines the attention and value that they place on the partnership. (Caplan 2007:9)

- Parties involved: NRC (national NGO) and NM (international working NGO)
- Established in 1998, when the Rehabilitation Centre was started
- The partnership was not time-bound but the fear of scarcity of resources challenged the ongoing of the partnership since 2010
- The main driver for the beginning of the partnership was due to the effort of the founder of the home for children with disabilities in Namutamba. Because he could no longer run the place, he looked for outside support.
- Triggers: The efforts of individuals and the cooperation of NM with two other German NGOs to combine the support with human resource and technical advice to start the NRC triggered the start of the partnership.
- Purpose: The NRC is an externally initiated NGO, so the partnership was established through the effort of the NM. The purpose of the partnership is to allow the NRC to fulfil its mission to provide holistic rehabilitation to children and youth with disabilities in Mityana Diocese.
- Transactions: The resource flows between the organisations is as follows:
 - from NM to NRC: financial, technical, equipment, training, status
 - from NRC to NM: information, legitimacy, link to grassroots, local knowledge, access to communities (Lister 2000:233)

-
- Form of agreement: since 2012 there is a Memorandum of understanding (MoU), which includes the responsibilities of each organisation
 - Focus of partnership: exchange of finances and personnel to broaden services of NRC, monitoring to ensure services are provided (NM:2012)
 - Developmental stage of the partnership: review and re-negotiation
 - Characteristics: the partnership is based on the cultural values and systems of the NM. The parties agreed upon customs and rules. The aim is to work in a 'deepened partnership' (NM:2012).
 - Accountability - mutual rights and obligations:
 - NM: networking, fund raising, capacity development, sending personnel and volunteers
 - NRC information, receiving personnel, financial accountability towards Board of NRC, networking, fundraising, upkeep of property of NRC (NM 2012)
 - Problems and challenges encountered:
 - Administrative procedures of NRC determined by NM (Brinkerhoff 2002:64)
 - Partnership was strengthened through individual relationships (Brinkerhoff 2002:64; Lister 2000:236)
 - The donor was driving the partnership process for many years, was "overexerting power", thinking "to knows best" (Lederleitner 2010:65,79)
 - Benefits of the organisations:
 - NRC: achieving organisational goals, capacity development improved operational efficiency, increased access to resources
 - NM: access to information, more effective services, enhanced reputation and credibility, legitimacy, access to communities, access to decision-makers

- Evaluation: There are no indicators yet developed for measuring the achievements and success of the partnership. (Fowler 2000:4; Nelson & Zadek 2000:32; Sterne, Heaney & Britton [s a]:1)

The resource mobilisation shall be explained in detail (Figure 2.1). The main resources flow through donations to the NM, which are transferred to the NRC to support the beneficiaries of the services. In the other direction information is given to the NRC, to the NM and the donors (Fowler 1997:25).



FIGURE 2.1: RESOURCE FLOW

The parents contribute towards the costs of medical rehabilitation. The experience is that the parents are able to pay for some of the costs of services. This confirms that they want and need the service and are involved in the rehabilitation and empowerment process (Holloway 2001:39).

The characteristics of the partnership were developed in the beginning of the relationship. The NM and the NRC developed a shared vision about outcomes of the rehabilitation programme and reporting requirements. The NRC implements the rehabilitation services and the NM supports with financial and other resources. This kind of approach could be called “visionary patronage” (Sterne et al [s a]:30).

The role of the NM was initially an “institutional supporter”. Fowler (2000:5) states that this relationship is common between Northern and Southern NGOs working together for a long period of time. It is formed around the activities of the participant organisations and concerned with the organisational viability. Information and money are transacted with limited conditionality. The transactions benefit both organisations. The concern of the relationship can include policies, strategies, management or organisational sustainability issues. Organisational aspects that are not directly concerned with the purpose of the organisation are not included in agreements, for instance the governance or leadership selection.

The relationship between NRC and NM aimed towards a deepened partnership since the memorandum of understanding was signed in 2012. The term partnership was not explained further but the contributions of NM and NRC towards the partnership were agreed on (NM 2012).

2.5 CONCLUSION

The case of the NRC was introduced and presented in this chapter in the context of the role of NGOs in development and in Uganda. The partnership with the NM and the history of the organisation was described in detail. The description of the case was done by using literature, communications and documents from both organisations produced for organisational purposes.

Following the introduction of this case to be explored in this study the underlying conceptual frameworks will be introduced. The next chapter focuses on the concepts of empowerment, sustainability and NGO partnership.

CHAPTER 3 EMPOWERMENT AND NGO PARTNERSHIP

3.1 INTRODUCTION

This chapter focuses on a literature review of empowerment and organisational sustainability as the conceptual frameworks of this study. The empowerment of the NRC as an organisation plays a central role in the development of its sustainability. That is the reason to choose the concept of empowerment for the literature review. In addition, the sustainability of NRC and the partnership with the NM provide two more key concepts for this research. Accordingly, organisational sustainability (3.3.2) and NGO partnerships (3.4) are reviewed in their relation to the concept of empowerment.

The literature on NGO partnerships in international development is also reviewed in order to place this study in the context of previous development studies research. The literature review is based on a search of books and articles from several bibliographical databases, from internet search engines and libraries. The literature included in this review is demarcated by the decision to specify on literature from the field of organisational development and the NGO sector.

3.2 EMPOWERMENT

3.2.1 The empowerment approach

Empowerment is known as a “distinct approach for developing interventions and creating social change” (Zimmerman 2000:44). The concept of empowerment emerged as a “world view that includes a social policy and an approach to the solution of social problems stemming from powerlessness” (Sadan 2004:74). Empowerment is recognised as both a goal and a driver of development (Alsop 2007:120). It has been prominent in the rhetoric of development for more than a decade (Jupp, Ibn Ali & Barahona 2010:9).

The empowerment approach emerged in coherence with the rights-based framework developed by Amartya Sen (2000). The connection between the two approaches becomes apparent by similar language (Moser 2004:38). Sen developed a human rights framework to promote the capability of people to live valuable lives and make their own decisions on the pursuit of well-being (Moser

2004:35; Sen 2000:14-18). Human liberty, ethical values, and empowered human agency became central to the development task in this multidimensional approach. Development should not be externally directed, but a process led by local ownership and sufficient capacity (Fowler 1997:3; Myers 2011:29-31).

The empowerment of poor people and investing in their assets was identified by the World Bank as one of two priority strategies for poverty reduction and central to development effectiveness (Narayan 2002:9). In this sense “Empowerment refers broadly to the expansion of freedom of choice and action to shape one's life. It implies control over resources and decisions” (Narayan 2002:9). Since poverty is multidimensional, there is a range of limitations to the freedom and choice of poor people. The empowerment of poor people can be hindered by institutional barriers for example laws, regulations, markets, civil society, international organisations, social norms and others (:18). But according to Zimmerman (2000:44), the empowerment approach goes beyond fixing problems and identifying risk factors. The approach aims at enhancing wellness and identification of strengths by searching positive aspects of a situation.

The concept of empowerment can be recognised as an “attempt to break the circle of vicious social problems which are difficult to resolve” (Sadan 1997:13). The aim of empowerment processes is to initiate social change which motivates people to increase their capability. These processes are implemented through programmes and projects. Empowerment initiatives aim at building capacity, transforming relationships and promoting participation and action of individuals and groups (Oswald & Ruedin 2012:4). The means of empowerment include participation, training, political activities and community organising (Myers 2011:218). Fowler (1997:8) provides the background to understand the changes needed for the empowerment of people. Effective micro-development requires a combination of people-centred actions. This combination includes the improvement of people's livelihood and physical well-being, the building up of capabilities of people's organisations and the empowering of people to decide on development processes according to their own plans.

Zimmerman (2000:57) analyses the concept of empowerment critically. He suggests that in some cases the concept might be used as an excuse to hold

poor people responsible for their living circumstances without recognising the power relations involved. He argues that the empowerment approach is a useful construct, but not a remedy for all problems because it is not applicable in all contexts. The difficulty of measuring empowerment is another reason for some development actors to dismiss the concept (Jupp et al 2010:15). Participation, sustainable development and the support of people's role in development by NGOs and other institutions are central to this approach (De Beer 2015:48).

The development of sustainability and self-reliance of the NRC is the central topic of this study. Therefore, the concept of empowerment was chosen to provide the background to this research as the empowerment approach emphasises local self-reliance, autonomy in decision making, democracy and social learning.

3.2.2 The history of the empowerment concept

The origins of the term empowerment are found in various disciplines such as psychology, theology and social movements concerning marginalised groups. The earliest theories of empowerment are rooted in a philosophical vision which gives priority to the viewpoints of oppressed people. The process of overcoming the domination of the more powerful by enabling the oppressed to express themselves and change their situation is the focus of this vision (Calvès 2009:2,13).

Paulo Freire is one of the foremost writers who inspired the concept of empowerment by his book “The pedagogy of the oppressed” published in 1968. He developed the concept of “critical consciousness” to enable the oppressed to move from understanding to acting. The oppressed are described as trapped in a contradiction as the power for decision making lies with the powerful that need the oppressed to exist. The perception of this oppression and the decision to struggle for their liberation is recognised as the way to overcome their oppression. Freire emphasises a way to collective action through dialogue and participatory critical reflection of barriers to freedom. (Freire 2005:49; Wallerstein 2006:18)

In the late 1960s the predominant model of development through economic growth was increasingly criticised. At this time researchers and NGOs involved in international development took notice of Freire's concept (Calvès 2009:3). These actors campaigned for greater awareness of the social dimensions of development. The call for an alternative development model was marked by the Dag Hammerskjöld report in 1975. The mainstream models of development were challenged for failing to focus on the question of poverty and sustainability. The Dag Hammerskjöld Foundation suggested a ten-point program to advocate a humanist model of development (Friedmann 1992:3).

The term empowerment started to be used formally in the international development field by the 1980s. The term was popularised by feminists of the Global South² and by radical activists. Alternative development models were considered more in response to the widening of global inequalities and the increase of poverty (Calvès 2009:4).

At first, the term empowerment, developed by feminists of the Global South, was regarded too radical and received no support by governments or development actors. But in the 1990s the term 'empowerment of the poor' was gradually assimilated into the vocabulary of international organisations (Calvès 2009:7,13). Friedman published "Empowerment: The Politics of Alternative Development" in 1992, where he describes poverty in the Global South as exclusion and disempowerment. He argues for an alternative development that aims not only on the improvement of living conditions of the disempowered but also proposes a model of empowerment. This model relates to psychological empowerment of individuals and households instead of economic, social and political power. Collective self-empowerment is described as the way to bring households out of poverty. This process might need an external agent to enable the disempowered to free themselves of traditional dependency. In addition, unequal power structures in the society must be "rebalanced". (Calvès 2009:4; Friedmann 1996:31,35,77)

²"The 'North' is broadly used to define countries that are net donors of development aid; the 'South' is broadly used to define those countries that are net recipients of development aid. The terms are used as shorthand, recognising the actual complexity of patterns of resource distribution between and within countries" (Brehm 2001:6).

The World Bank marked the institutionalisation of the term empowerment in the fight against poverty in the World Development Report 2000/2001. Evident linkages between empowerment and development effectiveness at society and grassroots level were recognised (Narayan 2002:17). 'Empowerment' was frequently used with other fashionable terms, such as 'community', 'civil society', and 'agency'. After all, the development rhetoric of the 'participation of the poor' focuses on the idea of empowerment (Calvès 2009:2).

However, the adoption of the term empowerment by international development organisations shifted its course away from a process of 'conscientization' and grassroots political mobilisation aimed at transformation of inequitable political structures to a vague concept that lost its former meaning. As a result, the value of the empowerment concept was questioned (Calvès 2009:1,13).

3.2.3 Definitions and dimensions of empowerment

The World Bank (2001:39) first defined empowerment in the World Development Report 2000/2001 in the following way: "Empowerment means enhancing the capacity of poor people to influence the state institutions that affect their lives, by strengthening their participation in political processes and local decision-making". Later, Narayan (2002:18) refined the concept for the World Bank: "Empowerment is the expansion of assets and capabilities of poor people to participate in, negotiate with, influence, control, and hold accountable institutions that affect their lives".

Further discussions of the concept at the World Bank brought the next change of the definition of empowerment. Alsop, Bertelsen and Holland (2006:1) define empowerment as "the process of enhancing an individual's or group's capacity to make purposive choices and to transform those choices into desired actions and outcomes". Previously empowerment was focused on people's assets, capacities and capabilities to enable decision-making. Now the focus is on the influence of social relations instead. Social relations are regarded as determinant for the capacities of individuals or groups to implement chosen plans into action (Calvès 2009:8,9).

These changes in the understanding of empowerment point to an obstacle in the rhetoric. Empowerment is identified as a mainstream concept in

international development but lacks clear definition (Hennink, Kiiti, Pillinger & Jayakaran 2012:202). In situations where the term is defined, the definitions vary considerably from one agency to another. Sometimes, multiple conceptions of the term even exist within a single organisation. “Without any clear definition, empowerment has become a vague goal, a fashionable term that is impossible to implement in the field” (Calvès 2009:9).

In addition, several similar terms are associated with empowerment such as self-strength, control, self-reliance, own choice or decision making, life of dignity in accordance with one's values, capacity to fight for one's rights, independence, and capability (Narayan 2002:37). As the concept was stripped of its original emphasis on power it has become synonymous with individual capacity, realisation, and status (Calvès 2009:10).

This lack of clarity in the definition of empowerment could undermine efforts towards community development and reduction of poverty. Cornwall and Brock (2005:2) criticise that empowerment is used as a changing buzzword to make development policies that sound purposeful and optimistic. The authors suggest clarifying the differences in the various meanings of development terms because terms are never neutral, but their combination allows certain meanings to flourish. Jupp et al (2010:94) suggest leaving the definition of empowerment to those who receive support for their own empowerment. That would solve the problems associated with value-driven and agenda-driven definitions of empowerment.

Calvès (2009:14) concludes that empowerment initiatives should connect again with the original conception of empowerment and reject the “instrumental” definition of empowerment used by international development organisations. Empowerment initiatives are implemented in specific cultural contexts with differing degrees of success. But the common ground they share is that they started with collective action, raised critical consciousness among people and aim at changing inequitable power relations.

Fowler (1997:9) describes two principal dimensions of empowerment. The first is a psycho-social dimension that explains a change of attitude of how people who are poor or marginalised look at themselves. Their mindset of resignation

to circumstances and low self-worth must change to better their lives. Freire's (2005:48) principles of popular education provide the background for this kind of change. The second relational dimension of empowerment builds on the first. It describes the capability and willingness to influence existing power structures or to build new ones after a change of the mindset of resignation. In doing so, the available resources and possible choices should be increased.

Individual, organisational and community empowerment describe different levels of empowerment. These levels are interdependent and could either be the cause or effect of the other. Nevertheless, empowered individuals are recognised as a basis for developing responsible organisations or communities. This dissertation refers mainly to the organisational level but shows the wider context that empowering processes on one level can contribute to empowerment outcomes on the other. Therefore, efforts to understand empowering processes and outcomes should always include the study of multiple levels of analysis. (Zimmerman 2000:46)

3.2.4 Empowerment processes and outcomes

Empowerment of people from different contexts takes on different forms. Making a distinction between empowerment processes and outcomes is critical to describe the theory of empowerment (Wallerstein 2006:18). Empowerment processes describe specific activities, actions and structures that may lead to the empowerment of an individual. These processes are empowering when an individual is enabled to develop skills to become independent, to make decisions and solve problems. The outcomes of such processes result in a certain level of empowerment, for example the skills and behaviour developed by the participants of an intervention to empower individuals are consequences of the empowering process (Zimmerman 2000:46).

Empowerment happens when poor people gain influence to improve their livelihood. Empowerment strategies provide a way to understand and challenge systems of control and social injustice. These strategies help to uncover the “mechanisms of control” through political, social, and psychological processes. That includes not only uncovering institutional or structural barriers but also cultural norms and social biases. Empowerment strategies aim at enabling

people to challenge internalised oppression and develop a new attitude towards their reality (Wallerstein 2006:18).

Empowerment processes are more supported through projects and programmes than through the centralised sector or direct budget support. Through smaller programmes, relationships, networks and capacity are developed to strengthen the organisations involved. In doing so, empowerment processes enable individuals and groups to more effective action in the relationships with policy makers, employers and others (Oswald & Ruedin 2012:4).

Self-help groups and microcredit initiatives are named as empowerment tools 'par excellence' for women and the poor. The underlying assumption of these initiatives is that access to financial resources is sufficient to empower women economically, and that this would automatically lead to social empowerment. But often financial aspects get more attention in self-help groups than education and 'conscientization' according to a study in India (Calvès 2009:11-12).

Narayan (2005:15) criticises that empowerment of the poor is regarded as a part of the development agenda but attempts to monitor and evaluate empowerment programmes as an approach for poverty reduction lag behind. The measurement of empowerment appears difficult because empowerment is assumed to be a "latent phenomenon" which is seen only through its action or results. The measures of empowerment are centred on indicators such as women's access to services, employment, and education, and little focus is put on political mobilisation or participation. The participation of poor people in most policy formulation processes is reduced to informing and consulting the poor instead of real participation (Calvès 2009:10).

Calvès (2009:11,13) argues that the standards and objectives of empowerment processes should not be decided from above. The very meaning of empowerment is to let the main stakeholders of projects decide themselves about the aims and methods of empowerment initiatives. Then the outcomes of empowerment will have an influence on incomes, health status, security, education, and self-esteem of the poor (Narayan 2005:53). Wallerstein (2006:19) refers to outcomes of empowerment on "many reciprocal levels in

different domains: psychological empowerment, household relations, enhanced social capital and cohesion, transformed institutions, greater access to resources, open governance and increasingly equitable community conditions”.

3.2.5 Dimensions of power

Power is recognised as a key concept to understand processes of empowerment (Sadan 1997:33). Weber (1978) defines that someone has power if he can enforce his will even if another person opposes him. It is the “probability that one actor within a social relationship will be in a position to carry out his own will despite resistance, regardless of the basis on which this probability rests” (:53). As power is created in relationships between people or things, empowerment promotes a “process of change” within power relationships (Page & Czuba 1999:2).

The achievement of empowerment is closely linked with the causes of disempowerment. Imbalances of power sustain the disparities that keep people in poverty (Luttrell & Quiroz 2009:6). Sadan (1997:144) states that “empowerment is a process of transition from a state of powerlessness to a state of relative control over one’s life, destiny, and environment.”

Different interpretations of power should be considered to operationalise empowerment according to Luttrell (2007:1). Table 3.1 provides an overview of the different power dimensions.

TABLE 3.1: IMPLICATIONS OF POWER DIMENSIONS

Type of power relation	Corresponding empowerment outcomes
Power Over: ability to influence and coerce	Changes in underlying resources and power to challenge constraints (emphasis on participation)
Power To: organise and change existing hierarchies	Increased individual capacity and opportunities for access (emphasis on access to decision-making)
Power With: increased power from collective action	Increased solidarity to challenge underlying assumptions
Power from Within: increased individual consciousness	Increased awareness and desire for change (emphasis on building self-esteem)

(Source: Luttrell 2007:1)

Empowerment seen as 'power over' emphasises participation but no changes in existing economic and political structures of society. 'Power to' focuses on decision making while 'power within' refers to building self-esteem. 'Power with' views empowerment as struggle for solidarity and change of power relationships (Zimmerman 2000:57).

Wallerstein (2006:18) recognises two aspects of power in relationships with others: control over resources (material, human, financial) and control over ideology (values, attitudes, beliefs). James (2001:138) agrees that control over resources is one of the basic sources of power, especially in the NGO world. The importance of other sources of power must be recognised equally, for example the local acceptance of an NGO as an actor in civil society (:148). Terms like empowerment, ownership and participation imply changes in power and relationships of development actors but have not been reached in practice. Power and relationships can be identified as governing dynamics in the complex system of aid. They prevent the inclusion of weaker actors in decision-making and serve to reinforce existing power relations. (Chambers & Pettit 2013:137)

3.2.6 Empowerment frameworks

At first the idea of empowerment at grassroots level emphasised on self-esteem, self-respect and agency. Later, the importance of the social and political context and the difference between practical and strategical needs were realised. Different approaches to empowerment exist and have implications that need to be considered. The definition of what is meant by 'empowerment' determines its value as an agent for change. Development agencies should adopt a specific focus on empowerment to channel their activities. Empowerment focused interventions may fail to address power imbalances if the types of power and appropriate strategies for change are not identified. (Luttrell 2007:3)

Several types of empowerment framework are suggested in the literature. The following section provides an overview of four types of framework that highlight different aspects of empowerment.

3.2.6.1 Agency and opportunity structure

There is a development debate as to whether change is brought about or constrained by forces beyond peoples' control or through individual and collective action. Prevailing power structures can support or hinder agency and hence empowerment. On the other hand, it is argued that individuals have a great capacity for acting freely and changing social structures. Many authors state that the social or political power structures and the potential of building agency are complementary and dynamic forces. (Alsop 2004; Freire 2005; Hennink et al 2012:204; Luttrell & Quiroz 2009:9)

In 2002 the first framework of empowerment was outlined by the World Bank (Narayan 2002). Four key elements to change power relations between the poor and powerful actors were identified: access to information, inclusion or participation, accountability and local organisational capacity.

In 2005 Narayan provided a more detailed conceptual framework building on the first to include the concept of agency and opportunity structure. His framework contains four building blocks to highlight different aspects of empowerment (Figure 3.1).

Opportunity structures are influenced by social, political and institutional structures. The agency of the poor depends on individual and collective assets and capabilities. All four components influence each other and together the development outcomes. This concept was developed to evaluate empowerment and development effectiveness. The framework should enable dialogue on empowerment between different disciplines. (Narayan 2005:4-5)

In 2006 the World Bank (Alsop et al 2006:9) presented in "Empowerment in Practice" a model for understanding and operationalising an empowerment approach to development. They translate the academic discourse on structure and agency into an 'actionable framework' that can help to change power relations and reduce poverty. Five country studies were part of the effort to develop and test the empowerment framework.

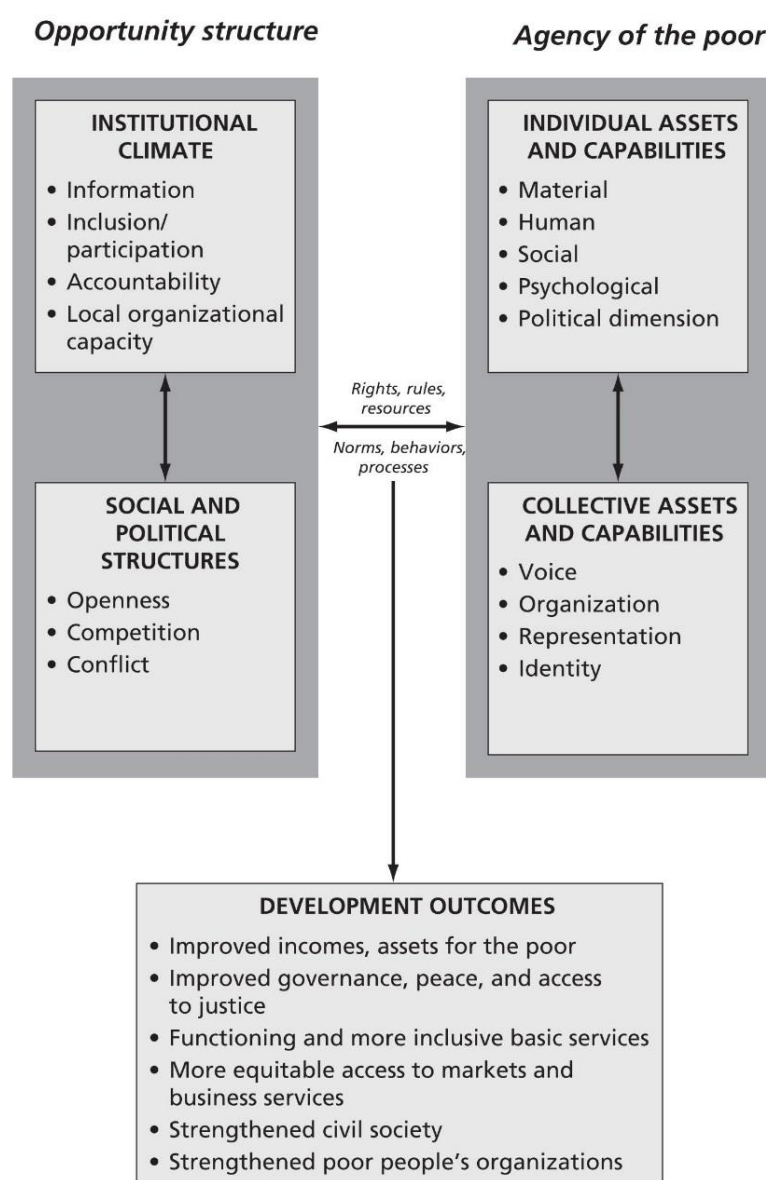


FIGURE 3.1: OVERVIEW OF THE CONCEPTUAL FRAMEWORK

(Source: Narayan 2005:7)

Agency and opportunity structure are interrelated factors in this model that influence the capacity to make effective choices (Figure 3.2). Agency refers to the ability of an actor to make purposeful choices. This ability might be restricted by the asset endowment, or the resources available to the actor to use economic, social or political opportunities. The opportunity structure is defined as those aspects of the institutional context which influence the actor's ability to transform agency into action. It influences the ability to act according to the plans made. Depending on the agency and opportunity the degree of

empowerment and the development outcome can be analysed (Alsop et al 2006:10-11).

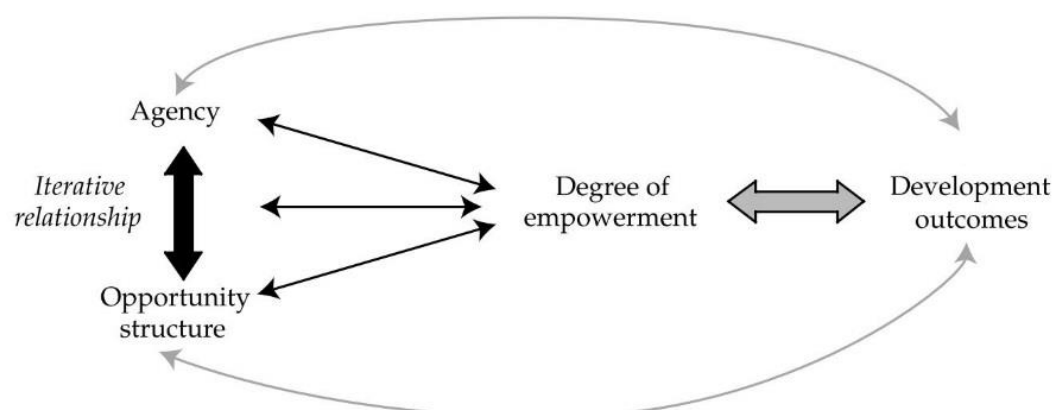


FIGURE 3.2: PROCESS OF EMPOWERMENT

(Source: Alsop et al 2006:10)

The framework of empowerment should be applicable for people in various political, economic and social conditions. The authors identify three domains of empowerment in order to differentiate the context where empowerment takes place (Table 3.2).

TABLE 3.2: SUMMARY OF THE ANALYTIC FRAMEWORK

Domains	Subdomains	Makro level	Intermediary level	Micro level
State (person as civic actor)	Justice			
	Politics			
	Public service delivery			
Market (person as economic actor)	Labour			
	Goods			
	Private services			
Society (person as social actor)	Intra-household			
	Intra-community			

(Source: Alsop et al 2006:23)

The state, the market and the society are defined as domains which are divided into subdomains. The individual or collective actor experiences a certain degree of empowerment in each domain. There is possibly a correlation between the degree of empowerment in each domain as they influence each other. These domains are experienced by people on different levels: macro (national), intermediary (district) and the local level (village) (Alsop et al 2006:19-22).

The degree of empowerment at one level does not reflect the same degree of empowerment at another level. Therefore agency, opportunity structure and degree of empowerment can be rated at each level separately. The contents of this framework might not be applied in all aspects in practice, but certain domains or levels can be considered selectively in different contexts (Alsop et al 2006:20).

3.2.6.2 *Mechanisms of empowerment*

Hennink et al (2012:206) present research based on the perspectives from 49 international development organisations involved in community initiatives. The results provide a conceptual framework comprising of six mechanisms that foster empowerment: knowledge, agency, opportunity structure, capacity-building, resources and sustainability. The mechanisms are explained in detail in Table 3.3. Organisations believe that empowerment on several levels is possible through a combination of these mechanisms. There is a differentiation between empowerment on an individual, community or organisational level. Individual empowerment is defined as a transformation that enables individuals to make independent decisions and is closely linked with agency. Agency in relationship with enabling environment and knowledge are identified as core mechanisms for individual empowerment (Hennink et al 2012:206).

Community empowerment is understood as the process of enabling communities to mobilise for change. Organisational empowerment might be a focus or an effect of collaborative activities. Altogether five mechanisms are identified in fostering community and organisational empowerment: agency, capacity building, resource provision, opportunity structure and sustainability. Capacity building, resources and sustainability are perceived as important inter-linked factors to achieve organisational agency (:206,207).

TABLE 3.3: MECHANISMS OF EMPOWERMENT

Mechanism	Definition
Knowledge	Access to education, training or information
a) Self-identity	a) Self-confidence to set and achieve goals
b) Decision making	b) Ability to make respected decisions
c) Effecting change	c) Believe in own ability to take action that effect change
Agency	Capacity to act independently and make choices
Opportunity structure	Existence of enabling environment
Capacity-building	Use community capacity to advocate for services
Resources	Access to physical or financial resources or skills for requiring resources
Sustainability	Ability to develop and support initiatives for long-term

(Source: Hennink et al 2012:206)

There are wide range of activities implemented by organisations that contribute towards empowerment. Five domains in which empowerment activities take place are identified: health, economics, political, natural resource and the spiritual domain. The researchers emphasise the complex interdependence between the various components of empowerment because disempowerment in one domain may hinder the empowerment in other domains. Understanding each component and minding the interlinkages between them can have important implications for developing actors that implement empowerment initiatives. (Hennink et al 2012:212-214)

3.2.6.3 Capacity development

Another framework of empowerment is provided by the Swiss Agency for Development and Cooperation (SDC). Capacity development plays a central role for SDC, in strengthening partner organisations and disadvantaged people. For this reason, they provide a thematic tool that uses systemic thinking to realise existing interrelations between empowerment terms.

Capacity development is recognised as a long-term process for building up abilities, skills and knowledge. The objective of capacity development is to strengthen local partners to become effective, independent and prepared for future tasks. External actors influence this process through their involvement. Effective support is closely linked to principles of partnership and knowledge development. Support in capacity development should consider a common value base and a common vision, agreed roles, tasks and context-specific knowledge (SDC 2006:2-4).

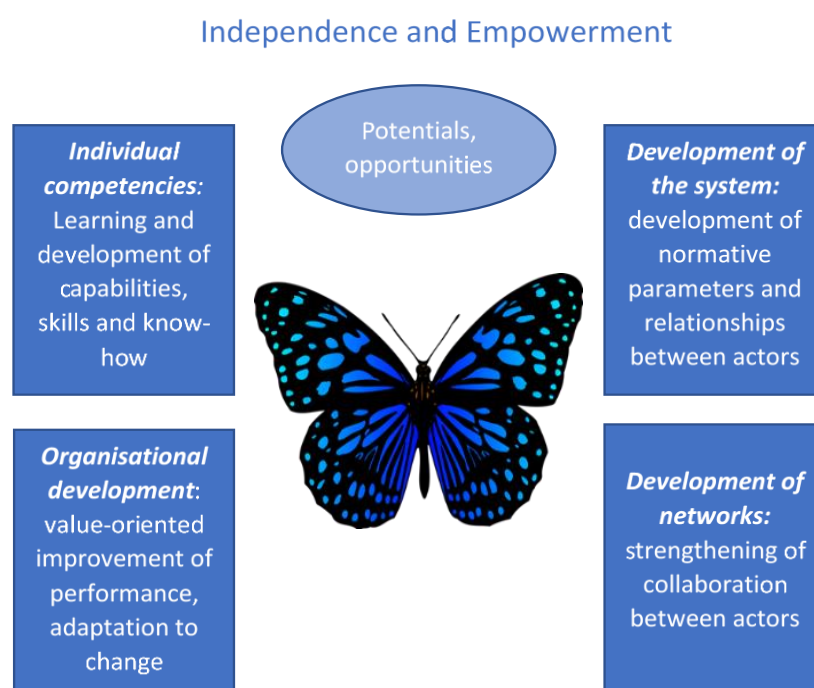


FIGURE 3.3: THE CAPACITY DEVELOPMENT BUTTERFLY

(Source: SDC 2006:2)

The model of capacity development (Figure 3.3), involves the development of potentials and opportunities on a personal, organisational, network and system level. The four wings of the butterfly correspond to those dimensions. It can only fly when it moves all wings in a coordinated way. In other words, organisational development needs to be in line with strengthening individual competencies, adapting internal structures and processes and developing networks with other organisations (SDC 2006:6).

TABLE 3.4: CAPACITY DEVELOPMENT IN FOUR DIMENSIONS

Dimension	Possible focus of intervention
Individual Learning	Coaching and training (values, attitudes, key competencies, capability for leadership, and communication)
Development of the organisation	Change management (development of vision, goals, strategies, structures, competencies, financial management, and the organisations learning cycle)
Development of networks	Network management (development and organisation of cooperation and networks)
Development of the system	Policy advice (platform for representation, access to resources, system assessment, conflict management and process structuring)

(Source: SDC 2006:7)

All four components of the model need to be considered in order to attain the expected performance, both independently and in cooperation with other organisations. This process should lead to empowerment of the actors. Possible aims of interventions according to each dimension of capacity development are displayed in Table 3.4.

3.2.6.4 Empowerment and health

Wallerstein (2006:2) conducted a literature review on the effectiveness of empowerment strategies to improve health and reduce health disparities. The role of empowerment interventions is not easy to evaluate because of the circumstances, various influences or different programs working at the same time. Empowerment processes take place at the psychological, organisational and community level and outcomes need to be assumed in several domains and levels.

Wallerstein presents a conceptual logic model that combines the multiple empowerment dimensions and measures presented in the paper (Figure 3.4). The framework includes empowering strategies, their empowerment outcomes, and their potential impact on health disparities and development effectiveness. The context of these processes on a global, national and local level as well as

the political, economic, legal and cultural environment are assessed in this framework.

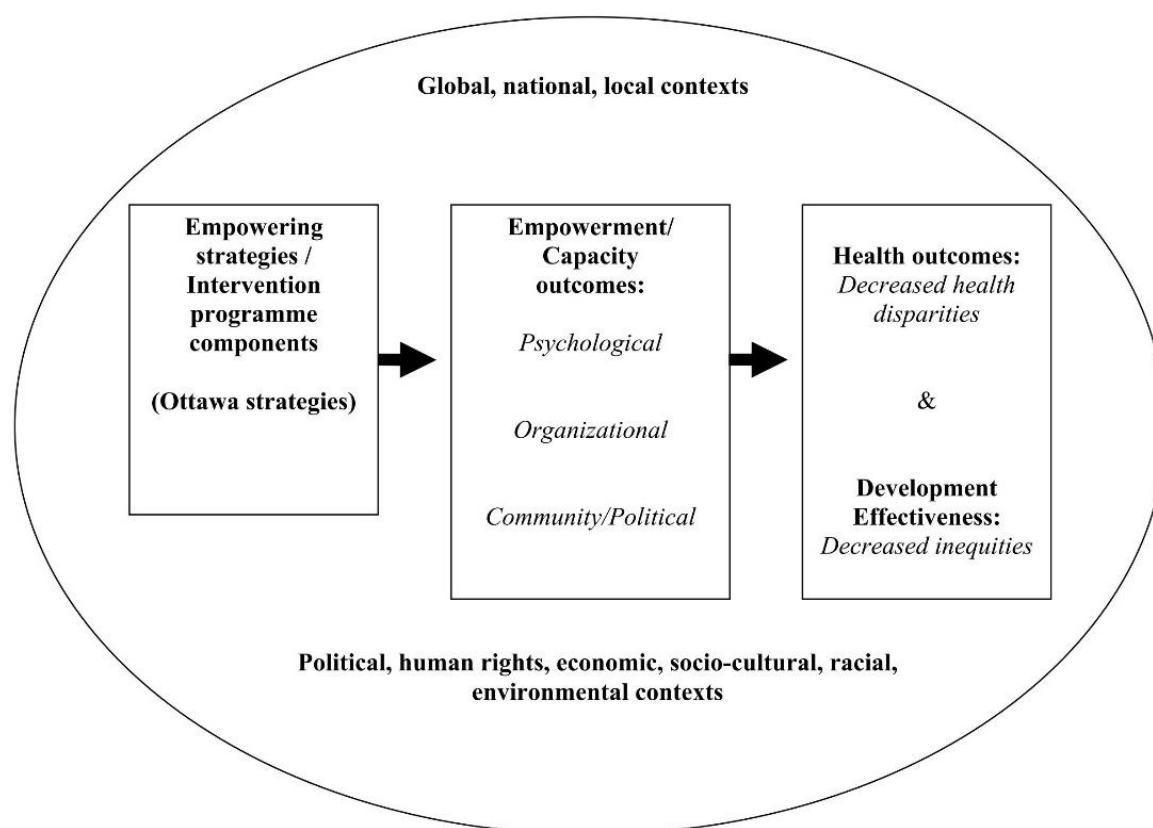


FIGURE 3.4: EMPOWERMENT AND HEALTH

(Source: Wallerstein 2006:23)

Components of empowerment programmes include personal skills, supportive environment and community participation as displayed in Table 3.5. Empowerment outcomes of these programmes are recognised on the psychological, organisational and political level.

Wallerstein concludes that empowerment strategies are a complex system that depend heavily on agency, leadership, and the context in which they take place. Empowerment is not a “stand-alone” strategy but must be part of a comprehensive approach that aims at gaining internal skills and overcoming external structural barriers to access resources (:18). The organisational level of empowerment is further explained in the next section.

TABLE 3.5: PATHWAYS TO EMPOWERMENT

Empowerment programme strategies	Empowerment outcomes
Personal skills Supportive environment Community participation	Psychological (intrapersonal change, sense of community, participation, critical consciousness of society)
Healthy public policy Involve constituents in health care	Organisational (well-functioning services, organisational effectiveness and capacity, effective inter-organisational network)
	Political/ community (enhanced civil society, good governance, human rights, pro-poor development, transformed socio-economic policies)

(Source: adapted from Wallerstein 2006:22)

3.3 EMPOWERMENT AND SUSTAINABLE ORGANISATIONS

3.3.1 Organisational empowerment

Wallerstein (2006:18) presents organisational empowerment within the “multilevel construction” of empowerment as the ability of an organisation to promote change. Conversely, Sadan (1997:104) discourages the idea of categorising organisational empowerment as separate form of empowerment. This would only concentrate on reforms at organisational level but miss the need for goals of social change. Therefore, organisations should aim at empowering individuals and communities and not just themselves. The researcher agrees with this statement but for the purpose of this study the empowerment of the NRC as an organisation is highlighted and the aspects of empowering individuals and communities set aside.

Still, Sadan (1997:103) emphasises the organisational aspect of empowerment in two dimensions. Empowerment can be realised only in connection with others, in groups or organisations of people who act together. The first aspect of empowerment is recognised in the relations, resources and procedures of the organisation and the influence these have on members of the organisation. Secondly, empowerment aspects are seen in the relationship between the

organisation and its environment, which includes the community or other organisations. Small local organisations that are managed democratically are a “dual vehicle of empowerment”, both for social change and for individual empowerment. The question stands whether organisations are empowering because empowered individuals join the organisation or are people becoming empowered by participating in the organisation.

Zimmerman (2000:51) distinguishes between empowering and empowered organisations (in Table 3.6). The first enable people to take control over their lives, the second influence policy decisions or offer alternatives. In addition, there is a difference between empowerment processes and outcomes. Empowering processes at an organisational level include shared leadership and decision making. They show the consequences of gaining more control over one’s life. Empowerment outcomes at an organisational level include networks, resource acquisition and policy leverage.

TABLE 3.6: EMPOWERMENT AT THE ORGANISATIONAL LEVEL

Process (empowering)	Outcome (empowered)
<ul style="list-style-type: none"> • Opportunities to participate in decision making • Shared responsibilities • Shared leadership 	<ul style="list-style-type: none"> • Effectively compete for resources • Networking with other organisations • Policy influence

(Source: Zimmerman 2000:47)

Wallerstein (2006:22) categorises organisational empowerment outcomes in her framework of empowerment (Table 3.5). She considers the maintenance of well-functioning services and effective inter-organisational networks or partnerships as the outcomes of organisational empowerment. Additionally, sustainability as part of the organisational capacity is mentioned as an outcome of implemented empowerment strategies.

Narayan (2002:7) states that empowerment processes must be included in the internal structure of organisations which have the mission of empowerment. Individuals with the opportunity to participate in organisations and their activities develop personal skills. They gain experiences and model others by taking responsibilities, identifying resources and developing strategies for social

change. Participating in decision-making, applying cognitive skills and working with others on a common goal are processes with empowering potential (Zimmerman 2000:47). On the other hand, empowering attitudes are expected of the individuals participating in empowering organisations. They have to consider respect, honesty, care, and dignity in the way they treat poor people in their encounters with the organisation (Narayan 2002:79).

3.3.2 Organisational sustainability

The life-cycle of NGOs is regarded as an evolutionary process of organisational development with its typical challenges and problems. The NGO life-cycle includes many changes from the start-up, to expansion, consolidation and close-out of an NGO (Avina 2002:125). Planning for sustaining outcomes of partnership activities or for a 'moving-on' strategy after the phase-out of a donor are important processes for the effectiveness and survival of an NGO (Halper 2009:7).

Organisational sustainability is considered as an organisational empowerment outcome. Specific definitions or dimensions of sustainability are used according to different development approaches. In this study sustainability is categorised as 'organisation oriented' or 'organisational sustainability'. Organisational sustainability can be distinguished from benefit and financial sustainability. Benefit sustainability refers to the continuation of the benefits of an activity even after the programme has ended. Financial sustainability is a part of organisational sustainability referring to the ability of an organisation to raise finances. (Cannon 2002:363)

The importance of organisational sustainability in achieving strategic goals is more and more realised in the literature (Hailey 2014:2). Methodologies are developed to assess the organisational characteristics of effective and sustainable NGOs. The following definition highlights such characteristic and various elements of sustainability.

A sustainable INGO is one that can continue to fulfil its mission over time and, in doing so, meets the needs of its key stakeholders – particularly its beneficiaries and supporters. As such, sustainability should be seen as an ongoing process, rather than an end in itself. It is a process that involves the interaction between different strategic, organisational, programmatic, social and financial elements (Hailey 2014:1).

Fowler (2000b:7-8) sees the main task of sustainability as creating conditions so that the benefits of NGOs can endure under changing conditions. Sustainability should increase the capability of people and of NGOs to respond to circumstances they do not control. NGOs must combine the three following components of sustainably-oriented interventions for effective micro-development: tangible improvements of physical well-being, greater capacity for people to act individually and collectively and individual empowerment (:17).

Fowler (2000b:133) describes a model for sustainability of NGOs displayed in Figure 3.5. He compares organisational sustainability with the 'regeneration' of an NGO.

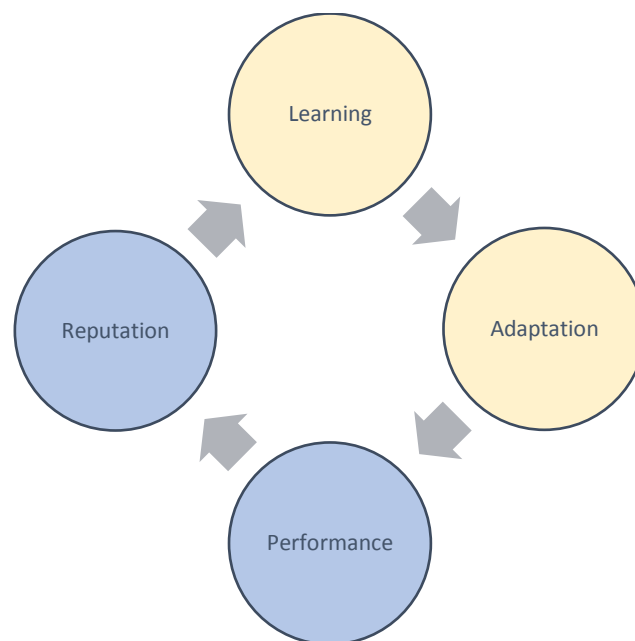


FIGURE 3.5 VIRTUOUS SPIRAL FOR SUSTAINABILITY

(Source: adapted from Fowler 2000b:184)

He explains the model of a “Virtuous Spiral for Sustainability” of a non-governmental development organisation (NGDO) in his book with the same title. On one side of the model are performance and reputation as outside factors and on the other side learning and adaption as inside elements of the spiral. (Fowler 2000b:183)

The spiral is continuous as all elements feed into the next part. Creating these spirals should lead to the sustainability of NGDOs. Organisational sustainability depends on reputation, which in turn depends on producing social value in

terms of relevance and quality. The performance of the NGO creates a positive reputation for instance through appreciation or feedback in terms of demand. In addition, sustainability requires adaptation and learning to survive as an NGO in an unstable environment. Fowler emphasises that leaders of non-profit organisations have significant influence on the performance of the organisation by their values and personal behaviour. Power might be used in more flexible, leader-dependent ways because of possibly looser structures in non-profit organisations. (Fowler 2000b:165,181-183)

In a similar way, criteria for organisational sustainability are suggested by INTRAC. The ability of an NGO to remain sustainable depends first on its positive public profile, network and reputation to attract resources. Second, having suitable and appropriate organisational systems and processes to attract resources and keep a good relationship with the donor. Third, it needs to have the internal capacity and willingness to learn and evolve. Organisational adjustment for greater sustainability involves answering questions about the forces for and against change, the kind of change needed, and the triggers and preconditions involved in this process (Hailey 2014:2,160).

3.3.3 Dependency and organisational sustainability

The resource dependence perspective is another theoretical background to understand the relationship of Southern NGOs (SNGOs) with their environment. NGOs require resources, but often the control of the resources lies outside the organisation. Therefore, the SNGOs depend for their survival on the environment or other actors who control those resources. As a result, relationships of power and dependence develop which are determined by the value of the resources. In turn, NGOs become bound up by the conditions of their environment. (Helander & Niwagila 1996:56; Hudock 1995:654)

Some basic requirements of NGOs to become sustainable and effective are met by foreign funding, for instance to implement good programs or to establish an adequate management. Furthermore, capacity building, resources and sustainability are realised as critical components to achieve organisational agency which might be supported by foreign funding. However, external funding does not build local support which is essential for an organisation's sustainability. (Hennink et al 2012:207; Holloway 2001:14,18)

NGOs become sensitive to the stability of resources they rely on. If an organisation relies on a single source of funding it becomes highly sensitive and vulnerable or unable to cope with changes (Fowler 2000b:60). This is another disadvantage of foreign funding. It does not promote self-reliance and the building of local capacity but makes NGOs politically and financially vulnerable.

The specific aspects of organisational sustainability regarding dependency are part of many studies. The following review provides various examples to shed light on the challenges of sustainability of NGOs and projects in different parts of the world. Holloway (2001:11) reviews a conceptual framework for NGO resource mobilisation and highlights possibilities toward financial self-reliance of NGOs and other citizen organisations as fundamentally important to long-term sustainability. The connection between organisational culture and sustainability problems is shown by Lewis (2003:223) in a study from Bangladesh. He analyses the cultural dimensions of sustainability and concludes that the local organisational realities and the relationships in wider systems have to be considered.

Indicators of sustainability at the project level are defined by Lyons, Smuts & Stephens (2001:1249). They include the creation of employment opportunity, maintenance and operation of buildings and the running and adaptation of the programmes as indicators. A study from Tanzania focuses on aid dependency and phasing out of projects (Catterson & Lindahl 1999) while a study from the Pacific shows the relationship of capacity building, financial and organisational sustainability (Low & Davenport 2002:367). They criticise the role of donor organisations in SNGO's capacity building. Donors should rethink the standard funding cycles and focus on exit strategies.

Da Silva Themudo (2004:2) focuses on resource dependence and independence of NGOs in case studies from Mexico and Portugal. He concludes that NGOs can protect their independence while depending on funding. Important strategies for retaining independence are strengthening the commitment to the mission of the NGO, strengthening of leadership and accountability to the grassroots. The study of Boardman (2006:483) focuses on exit strategies but realises the close relationship to sustainability. He advises to

consider sustainability and exit strategies right from the start of any development programme. Mazibuko (2007:2) explores the challenges of establishing self-sustaining development institutions in Malawi. He concludes that sustainability cannot be predicted because of uncertainties in project success. Greater project success is realised in participatory organisations.

Sahyoun (2009:208) explores in his study the challenges and opportunities of phase-out of development interventions in community-focused NGO projects. He develops a framework for sustainable change and highlights the willingness of community members to take responsibility for sustaining change. Engels (2010:1) designs a phase-over model for donor-driven aid projects in order to sustain impact of development projects after the project ended. For this reason, he includes capacity building in the project cycle tool for creating the preconditions of phase-over. Kvinna till Kvinna Foundation (2011:6) works together with women's organisation in the Western Balkans and Middle East. They reflect on their programme phase-out experience in Croatia and provide lessons learnt in order to contribute to the learning process in development cooperation. Hendricks (2012:7) explores the challenges of NGOs for financial sustainability in the South.

No study was found which explores the connection between NGO partnership and the sustainability of the partner NGO in depth. The concept of partnership is the theme of the next section.

3.4 NGO PARTNERSHIP AND EMPOWERMENT

3.4.1 Definitions of partnership

The World Bank (1998:5) provides a wide definition of partnership as a means to achieve shared objectives in an effective way: "Partnership is a collaborative relationship between entities to work toward shared objectives through a mutually agreed division of labour." Fowler (2000:2) criticises: "Today's rule of thumb in international development is that everybody wants to be a partner with everyone on everything, everywhere." Most interorganisational relationships should not be named partnerships because the benefits are not equally shared (Brinkerhoff 2002:16). The following definition by OECD LEED (2006:7) provides more details on partnership principles:

A partnership is an agreement to do something together that will benefit all involved, bringing results that could not be achieved by a single partner operating alone, and reducing duplication of efforts. A successful partnership enhances the impact and effectiveness of action through combined and more efficient use of resources; promotes innovation; and is distinguished by a strong commitment from each partner. To achieve sustained success, it is essential that basic local parameters be created and agreed upon; equally essential are political will, resourcing, and the appropriation of funds.

Brinkerhoff (2002:14) defines the ideal type of partnership. This definition might never be fully operational, not universally appropriate and subjective in its justification:

Partnership is a dynamic relationship among diverse actors, based on mutually agreed objectives, pursued through a shared understanding of the most rational division of labour based on the respective comparative advantages of each partner. This relationship results in mutual influence, with a careful balance between synergy and respective autonomy, which incorporates mutual respect, equal participation in decision making, mutual accountability, and transparency.

The ideal of partnership is described by Fowler (1998:141) as an approach to “equality in ways of working and mutuality in respect for identity, position and role” The concept of partnership should be marked by:

- Common goals
- Shared interpretation of the causes of poverty and marginalisation
- Agreed principles with people centred ways of combating the structural nature of poverty and other social ills
- Mutuality in the contribution NGOs could make in working for a more equitable, just and sustainable world
- Respect for the autonomy of each organisation.

To reach this ideal, each relationship must be adapted to the context and the aims of both partners in “equitable and mutually beneficial ways” (Fowler 2000:45). Also, Helander and Niwagila (1996:31) emphasise the ideal of partnership as a “reciprocal and respectful relationship, where partners do not disturb each other or interfere with each other's decisions”. Schwartz (2007:38) agrees and states that money is not the central issue in the best partnerships.

Fowler (1997:107) argues that authentic partnerships are needed. He defines authentic partnership as “mutually enabling, interdependent interaction with shared intentions”. The most likely candidates for achieving authentic partnerships are NGOs with similar organisational structures, world views, and missions (Hoksbergen 2005:26). The following partnership principles or

characteristics of a successful partnership are frequently mentioned in the literature regarding *elements of authentic partnership* (Brehm 2001:29; Brinkerhoff 2002:18; Civicus 2014:1-3; Dóchas 2013:23; Fowler 1998:144; Fowler 2000:4; Hauck and Land 2000:11; Hoksbergen 2005:19–20; Lister 2000:228; Tennyson 2011:35):

1. Partnerships are based on a shared vision of development and common goals. (*A sustainable and self-managing partnership*)
2. Partnerships are based on shared organisational values, respect for diversity and commitment. (*A successful negotiation of partnership agreement and work plans*)
3. Partnerships are based on an agreed strategy according to the purpose of the relationship, mutual influence in formal agreements, the importance of culture, and consultative decision-making. (*Development of flexible management procedures to guide the partnership, respectful of the needs of both sides*)
4. Relationships are based on mutual and multiple accountability and trust, on agreed governance mechanisms, transparency, local validation and shared control. (*An 'equitable' division of tasks and a shared responsibility for results, implementation of activities defined in work plans, leading to concrete results*)
5. Partnerships are based on a mutual commitment to long-term change, to a long-term perspective, mutual learning and recognition, learning from others and principle of interdependence. (*A clear expression of mutual interest in continuing the partnership relationship*)
6. Expectations from partnerships will be set at a realistic level including clear communication of policies and expectations.
7. Partnerships are based on clear roles and responsibilities, aiming at empowerment and equality. (*An 'equitable' contribution of financial resources, significant benefits gained by individual partners ('added value')*)
8. Partnerships are flexible and adaptable to change and local adjustment according to the dynamic nature of partnership.

9. Partnerships respect difference and recognise power imbalances. They are based on respect for self-governance together with interdependence and realise the need for checks and balances in the donor-recipient relationship. (*Building of confidence and trust among partners, and recognition of respective comparative advantages*)
10. Partnerships ultimately deliver positive change for intended beneficiaries of projects. (*Impact beyond the immediate stakeholder group, provision of information to the public domain in order to share experiences*).

The benefits and advantages of partnering are widely recognised. Synergistic results are assumed to be the outcomes of a partnership. In other words, the effects of a partnership are greater than the sum of the contribution of each partner (Brinkerhoff 2002a:215). The following benefits of partnership are described by these authors (Brehm 2001:22,25–26; Brinkerhoff 2002:6; Johnson and Wilson 2006:79):

- Enhance efficiency and effectiveness through a reliance on comparative advantages (potential win-win situation) and a rational division of labour
- Cost-effectiveness: supporting local organisations is cost effective compared to running operational programmes
- Achieving aims (shared responsibilities; reaching mutually agreed goals)
- Shared vision (shared values and trust in spite of differences)
- Ensure sustainability through open decision making processes, that seek to maximise representation and democratic processes
- Strengthening civil society by strengthening local organisations, particularly in contexts of change towards greater democratisation
- Partnership allows for flexible support
- Local actors are better placed to reach the poorest and most marginalised groups
- Mutual benefits through joint interaction dialogue, cultural exchange, organisational renewal and strengthening (see inherent differences between the partners as opportunities that provide learning benefits for both partners)

- for Northern NGOs: to learn from the South and access information for development education
- for Southern NGOs: capacity building and organisational strengthening, working in partnership can strengthen civil society.

Another ideal view of partnerships presents them as covenant relationships. These covenants are commitment-oriented instead of problem-oriented assistance programs. Covenants enhance empowering relationships because they demonstrate an “ongoing commitment to a shared vision”. So, the covenant focuses on this promise instead of the giving of resources. (Rickett 2012:7; Rowell 2007:157)

3.4.2 Debates about NGO partnership

In the 1980s, the interest in non-state actors in development processes including NGOs increased. This was caused by a change in the political discourse around the role of civil society, participatory development and empowerment in development issues. NGO partnerships began to attract more attention as an alternative to government-to-government aid. NGOs gained increasing importance and became part of the research agenda of development since the late 1980s. (Lewis & Kanji 2009:3; Rugendyke 2007:6)

Partnerships between NGOs from the North and the South had started already in the 1970s. The underlying aspiration was international solidarity and the chance to pursue social change together (Fowler 2002:242). Earlier research on partnership had concentrated mainly on business involvement. Later, the perspective of development issues in partnerships was examined more in detail. The process of building partnerships is recognised as dynamic and “interwoven with contextual and thematic issues that relate to the work of particular partnerships” (Rein et al 2005:7). Therefore, different perspectives need to be considered when examining partnerships.

Partnership became a key term in development policies and practices since the late 1980s. Contu & Girei (2014:212) mark the “Partnership for Development” documents of the World Bank (1989) as the historically significant moment where partnership started to emerge as a key term. Partnership was further promoted by governments, international agencies and NGOs at the 1992 Rio

Earth Summit as the “most effective way of working towards the achievement of sustainable development” (Rein et al 2005:1). Partnerships between NGOs based in the Global North and the Global South became a “key part of international development processes” (Brehm 2001:6). The benefit of NGO partnerships is expected to reveal itself in the cost-effectiveness of NGO-interventions when responsibilities and roles are divided between the partner organisations. For example, Northern NGOs can engage easily with donors and influence policy and advocacy. They might provide international experience and contacts. On the other hand, Southern NGOs are locally based and rich in local knowledge and contacts. If Northern and Southern NGOs work together they can combine their strengths, be a link between both constituencies and strengthen their legitimacy. A further advantage of partnerships is the organisational dimension of the relationship which is longer lasting than a typical development project. This provides opportunities for organisational strengthening and capacity building. (Brehm 2001:7; Fowler 2000:4)

Since the inception of development partnerships, the usefulness of the term partnership has been eroded. The concept of partnership became the subject of a rigorous debate criticised as a “fashionable term” adopted by all kind of development agencies. Critics comment that almost all relationships between development organisations are being referred to as partnerships. Often, they just capture the basic idea of “working together for some common purpose”. (Brehm 2001:6; Fowler 1997:107; Hoksbergen 2005:26; Rein et al 2005:12)

In general, the literature on partnership between Northern and Southern NGOs shows idealism in regard to what partnership should be, and pessimism in relation to actual partnerships in practice (Baaz 2008:7-9; Brehm 2004:1). Hauck and Land (2000:4) criticise that a common understanding of the term partnership is often assumed, although in reality quite different expectations of the relationship are held by the partners. Johnson and Wilson (2006:71) agree that partnership is a widely-debated concept which stands either for “collaboration based on equality and mutually-beneficial processes and outcomes” or for “highly unequal power relations”. This is because of the funding process which determines the relationship between Northern and Southern NGOs as a donor-recipient relationship.

Partnership is regarded as an “attractive mode of cooperation” that might ensure a way of achieving development objectives and suggest a more equitable relationship between developing countries and external funding agencies. This should be done through progressively transferring responsibility and ownership from the ‘donor’ to the ‘recipient’ who is now called the ‘development partner’ (Hauck & Land 2000:3). Brehm (2001:8) questions this assumption because the mutuality of partnership is contradicted by the imbalances of resources.

Eade (2007:637) describes partnership from the perspective of Northern NGOs as “getting out of the driving seat and learning to trust their chosen partners’ navigational skills”. Northern NGOs might “fill up the tank” but they do not have the “right to determine the route”. This requires a learning attitude of Northern NGOs because “if you can’t learn, you can’t teach either”. This metaphor is also used by Contu and Girei (2014: 227) who comment that Southern partners are given the ‘driving seat’ of their development but are in reality still seen as “chauffeurs given that they have little say on where they are driving to and even how they are driving”.

As the phrase ‘partnership in development’ is also used for unbalanced and dependency-creating relationships, it has become “virtually meaningless and discredited” (Fowler 2000:26). Brinkerhoff (2002:178) suggests not to insist on referring to the term ‘partnership’ but to use ‘network’ as a more neutral term. However, he praises partnership as a specific type of network specified by the dimensions of mutuality and organisation identity. Partnerships provide the chance for potentially weaker players to enter relationships and promote their improvement. On the other hand, partnership has the potential of masking power relations between unequal actors.

A review by Brehm (2001:17) of the published Southern literature on the topic of partnership reveals that the authors are sceptical about the use of the term, the motives of Northern NGOs and the possibilities of true partnership between NGOs from the North and South. Hauck and Land (2000:16) ask the question, “Is partnership feasible?” The implementation of “genuine” partnership is probably more the exception than the rule. Reason being is that development efforts in the past have been “too much driven from the North and not

recognising the needs of the South” (:15). McEwan (2009:221) has the view that the language of partnership is used by development agencies as a reply to the “accusations of neocolonialism”. However, these agencies still use development policies which are defined by unchanged power relationships. The rhetoric of partnership appears to be “fancy window dressing” which only plays an ideological role in the new liberal policy framework instead of emphasising reality. This rhetoric disguises the fact that partnerships are never equal relationships when agencies of the North are still dominant in “general intrinsically one-sided” partnerships (:221-224).

McEwan understands stereotypes in the practice of partnership. Passivity and lack of responsibility are associated with the partner from the South while activity and responsibility seem to be attributes of the actors from the North. The idea of aid dependency remains strong and has a central role in Northern discourses about partnership. The partners of the South are depicted as “spoilt by aid”, corrupt and unreliable (:219).

3.4.3 Types and phases of partnerships

There are several categories or types of relationships between NGOs found in the literature. Diversity in relationships can be recognised in funding-based, capacity-based and trust-based differences. In addition, relationships are dynamic and change over time. Mutuality and organisation identity are the two main dimensions that distinguish partnerships from other types of relationship. Mutuality determines the principles of partnership while organisation identity is the basis for selecting partners, and the partnership’s value-added. Partnerships are pursued because of the unique value the partner has to offer, “whether this is resources, skills, relationships, or consent” (Brehm 2001a:3; Brinkerhoff 2002a:217).

Fowler (2000a:46) distinguishes five categories of relationships for more transparency.) These types of relationship together with the implication for the partner’s power and engagement are displayed in Figure 3.6 (Squire 2012:3). The type of relationship is differentiated by the ‘breadth’ of organisational engagement negotiated, while the ‘depth’ is presented as the power and engagement of the relationship. In moving from development ally to development partner the breadth and the depth of the relationship increases.

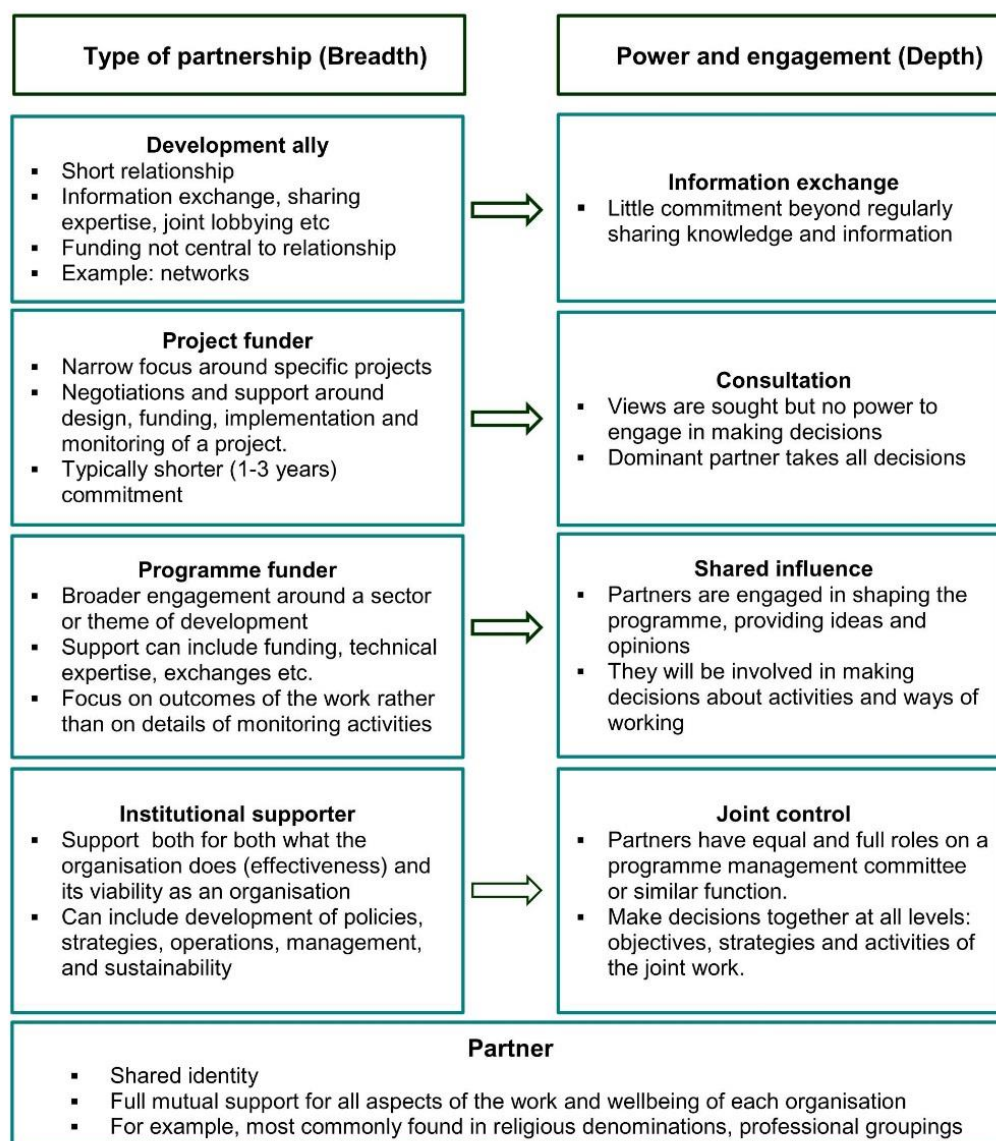


FIGURE 3.6: TYPES OF PARTNERSHIP

(Source: Squire 2012:3)

The different types of relationship are explained by Fowler (2000a:45-46) as follows:

Development ally: Two or more organisations agree on a development agenda which they pursue together for an agreed period. This can be done through information exchange or sharing experience for instance in a network.

Project funder: The relationship focuses on a specific project. It can involve design, implementation, evaluation, monitoring and funding. This relationship

can exist between an NGO that implements a project that is financed by another actor.

Programme funder. The relationship concentrates on a specific area or section of development work for example health, water supply or human rights. The support might be financial input, technical expertise or connecting to specialist networks.

Institutional supporter. This relationship focuses on the effectiveness and viability of an organisation. Assistance from the supporter benefit what the organisation does (effectiveness) and what it is (viability). This type of relationship is common between Northern and Southern NGOs that have worked together for long time.

Partner. In this relationship mutual support for all aspects of the work and the well-being of each organisation is considered.

The definition of different kinds of relationships is proposed as appropriate for different purposes and helps to discuss the rights and obligations for each side accordingly. This creates a more honest and transparent framework for negotiation and action in development initiatives (Fowler 2000a:45). Brehm (2001a:4) mentions the importance to recognise distinct phases of partnerships for example starting, maintaining and the ending of the relationship. Tennyson (2011:6) focuses on different phases in the partnering process in order to keep a partnership balanced and able to achieve its goals: scoping and building, managing and maintaining, reviewing and revising, and sustaining outcomes.

Squire (2012:4) provides a model of key stages of partnership that is further explained in Figure 3.7. The purpose of the model is to determine specific tasks and priorities of each stage of the partnership. These stages might not apply to every partnership but give an overview of necessary activities to build and maintain an effective partnership.

The following stages are differentiated:

Preparing for partnership. This stage involves being clear about what is the added value expected from the partnership, understanding their own capacities as a partner, and also knowing what kind of partner to look for.

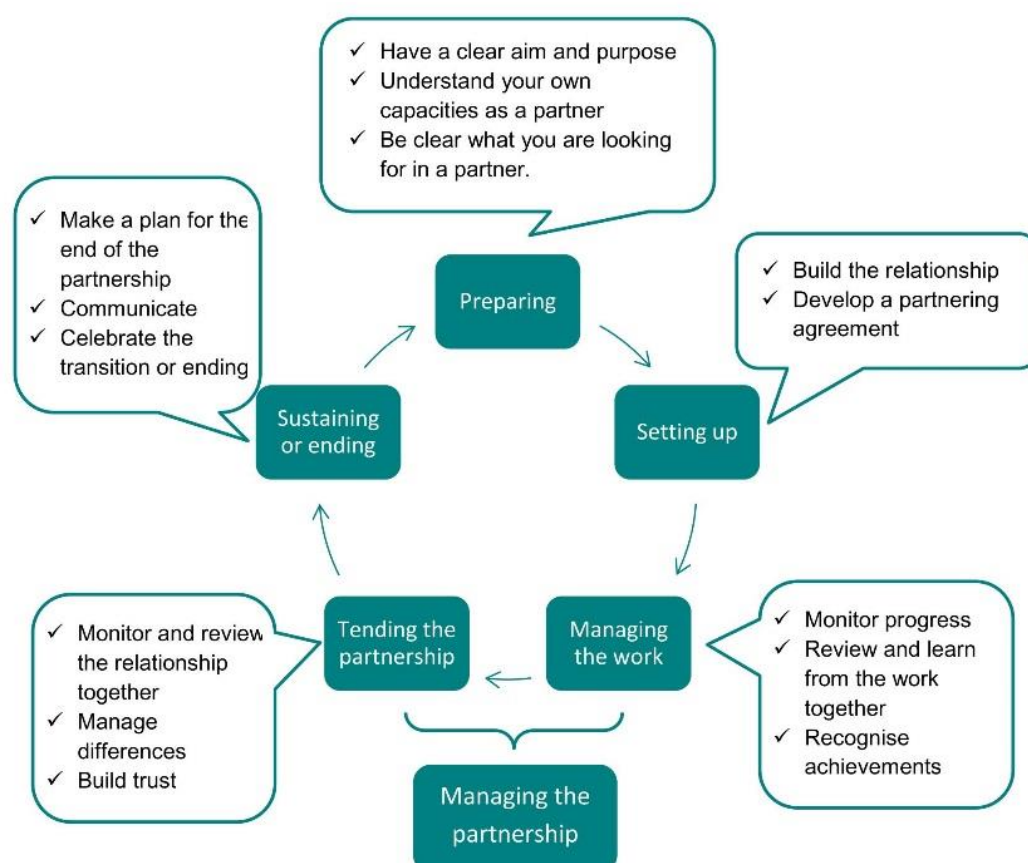


FIGURE 3.7: STAGES OF PARTNERSHIP

(Source: Squire 2012:4)

Setting up a partnership: After getting to know each other the development of a partnership agreement is a significant point.

Managing a partnership: This stage has two key elements. First, to monitor the progress of the joint work. Second, monitoring and nurturing the partner relationship.

Exiting or closing down a partnership: According to the partnership agreement the closing down of the partnership should be carefully planned and achievements celebrated. Working together on a plan to manage the change and a positive outlook on new opportunities should be included.

3.4.4 Power relations and postcoloniality in NGO partnership

Power dimensions and their effect in the development context were already highlighted under 3.2.5. The question of power relations in North-South partnerships was studied by many scholars (Brehm 2004; Chambers & Pettit

2013; Corbett & Fikkert 2014; Collier 1999; Da Themudo 2004; Halper 2009; James 2001; Lederleitner 2010; Pratt 2002; Shutt 2008).

Oswald and Ruedin (2012:4) argue that donors are part of power relations in international development and should be aware of their responsibility and their role in empowering or disempowering the stakeholders they are seeking to support. Therefore, empowerment programmes should be organised in synergy with projects, local governments and donors (:9). Eade (2007:630) is sceptical about the practices of many conventional NGOs which try to retain power instead of empowering their partners. Donors often exercise power in their relationship and act politically by involving themselves in local processes. Therefore, donors should reflect on the impact they have on empowerment processes and respond to inequitable power relations in their programmes and projects. Self-awareness of donors concerning power relations is required to monitor and assess the empowerment of others (OECD 2012:20-21).

When patron-client behaviour becomes normal, relational disempowerment can be recognised and assessed (Fowler 2000:2). Mohan (2001:160) suggests that power imbalances should be accepted as they cannot be removed easily. The first step towards a change could be to acknowledge that those of whom we think to be powerless are not. This would help to change the “patronising attitudes that ‘they’ need to be empowered according to our agenda”. Many Northern NGOs ignore that control over resources gives them power. Southern NGOs are more aware of power issues. James (2001:138) criticises that the intentions and the rhetoric of Northern NGOs is about relinquishing control while in reality they “find it extremely hard to let go”. This makes it difficult to build capacity.

The assumption, that development agendas of the North can define and solve problems in the South, is categorised as profoundly problematic in the postcolonial³ view (McEwan 2009:18). Humanitarian organisations in the North see themselves as saviour while they support the impression of “incapable victims in the South”. This “sovereignty over the minds and bodies of distant

³ Postcolonialism is defined as anti-colonialism which is a “critique of all forms of colonial power (cultural, political and economic, past and present)” (McEwan 2009:18).

others” should be challenged (:27,211). Mohan (2001:165) stresses the point, that any outside intervention for social change is already “colonising” because the origin of the process stems from outside. On the other hand, postcolonialism is criticised by development studies because of its tendency to focus on issues of culture and representation and to neglect the lived experiences and material realities of postcoloniality (McEwan 2009:27).

Baaz (2008:2) examines the identity of donors and development workers as an important dimension in relation to the partnership discourse that shapes development practice. She explains that identities are constituted through the meaning we provide for the “Self” and the “Other”. There is a contradiction seen in the message of partnership and the images of donors and their partners. The donor sees himself as “superior, active and reliable” Self while the partner is the “inferior, passive, unreliable” Other. These identities are not firmly established but inscribed in the partnership discourse itself. This proves that decolonising situations are still influenced by the “imperial past” they try to change. There is a contradiction realised between the discourse of partnership which aims at equality and the discourse of development which states that partners are not equal. However, the point is emphasised that identities are not determined in fixed ways but open to change through providing alternative meanings (:9,167,174).

Paternalism is supposed to have no place in the partnership discourse. The Southern partner should take the lead in the relationship of organisations. But in reality, the partnership discourse remains characterised by paternalism. Donors identify passivity and dependency as problems in partnerships and provide the treatment for the problem: to teach the partner how to become independent and use their own resources. The need to create equal relationships is a recurrent issue in the development dialogue. The debate proves that it is difficult to create an equal and non-paternalistic relationship in practice. The stated goals of development and its practices and outcomes often differ, and ambitious aims of partnership appear “disappointingly empty”. It is a quite common position in the literature that partnership is used as “tactic to mask other goals” such as lowering costs of development. Partnerships may fail if the intention of the development actors is not to create an equal

relationship where the local partner takes the lead. (Baaz 2008:7,168; Brinkerhoff 2002:13; Lister 2000:229)

3.4.5 The reality of partnership

Power is recognised to be an unavoidable dimension in any relationship, whether it is between individuals or among organisations (Lister 2000:229). As previously mentioned, the imbalances in capabilities and power between development actors lead to unequal NGO relationships (Fowler 2000:1). The research of Contu & Girei (2014:205) confirms that there is a gap “between the rhetoric and reality of such partnerships”. Partnerships in practice are shaped by “relations of inequality characterized [sic] by subordination and oppression”. Fowler (2000:8) and Brinkerhoff (2002:13) agree that the partnership rhetoric is strong, but the effectiveness, efficiency, and credibility of the practice are less certain. An overuse of distorted partnership rhetoric and inconsistent practice may lead to an abandonment of working in partnerships altogether.

Hoksbergen (2005:19) summarises that the ideal picture of partnership is not easy to achieve in practice. This has led Fowler (2002:250) to question the widespread use of the word ‘partnership’ and the underlying reasons for partnership. Fowler suggests the use of the term ‘cooperation’ instead. The research of literature of mainstream development and management studies by Contu & Girei (2014:223) recognises two ways of explaining the reason for the gap between the ideal and the reality of partnership. Either the application of management knowledge on partnership is wrong or the will to create active partnerships is missing.

Lewis (2001:159) presents a set of criteria for identifying and building active partnerships in comparison to dependent partnerships displayed in Table 3.7. Partnerships should be regarded as a process and may need continuous review and adaptation. Active partnerships are those built through processes of negotiation and learning. Roles and purposes are clearly agreed on but may change according to need or circumstances. Dependent partnerships are constructed at the project-planning stage according to individual agency interests and linked to the access of resources. There may be unclear roles and responsibilities and poor communication. (Ahmad 2006:630)

TABLE 3.7: ACTIVE AND DEPENDENT PARTNERSHIP

Active partnership	Dependent partnership
Process	Blue print, fixed term
Negotiated, changing roles	Rigid roles based on static assumptions about 'comparative advantage'
Clear purposes, roles and linkages, but openness to change as appropriate	Unclear purposes, roles and linkages
Shared risks	Individual interests
Debate and dissents	Consents
Learning and information exchange	Poor communication flows
'Activity-based' origins- emerging from practice	'Resource-based' origins- primarily to gain access to funds

(Source: Lewis 2001:159)

Several commentators argue that 'genuine' partnership simply cannot be realised under conditions of structural inequality in resources, power and institutional strength. For most part, financial resources are given greater weight than the less tangible resources provided by Southern NGOs. (Brinkerhoff 2002:177; Fowler & James 1995:10; Hauck & Land 2000:4)

Fowler (1998:141) gives the following reasons why NGOs failed to build authentic partnerships which empower both partners: first, an incorrect assumption of comparability between the ideas used to define the desired relationship and secondly, a range of obstacles mentioned in the literature that hinder partnership. Partnerships are often established between unequal partners. Partnerships involving NGOS sometimes have a passive character when the idea of partnership was probably forced to get access to resources. If this happens, then the partnership is missing joint discussions and action and becomes a dependent partnership which is most likely to be unsustainable. The challenge and opportunity is to transform partnerships which started like this "into something more worthwhile" (Lewis 2005:158–159).

Main limits to partnerships are presented by Brehm (2004:3):

- The Northern partner as donor has control over resources that leads to power imbalance and appears to be the main obstacle to equality (Brehm 2001: 31)
- The Southern NGO might become donor-driven instead of accountable to primary stakeholders.
- The limits of organisational capacity of one NGO or capacity inequality between the partners corrupts the partnership dialogue.

A further thread is that partners do not consider changes in their own behaviour necessary to make the partnership effective (Brinkerhoff 2002:16). According to the research of Brehm (2004:5) the following recommendations are made to Northern NGOs in relation to their partnerships:

- Adopt realistic, long time horizons with consistency and commitment.
- Support capacity building for autonomy and resource mobilisation, plan for phasing out and support resource mobilisation and the diversification of funding from the beginning.
- Where possible ensure consistency in the staff relating to partners.
- Develop closer co-operation with other funders and allow greater flexibility and creativity in terms of reporting formats (for example visits and visual reports).
- Take on board the role of a facilitator: be more responsive to Southern partners' agendas and the agendas of ultimate target groups.
- Use the knowledge and expertise of Southern partners.
- Develop partnerships that are genuinely inter-organisational and broaden the inter-organisational dialogue.
- Include assessment of the partnership process itself.

Southern NGOs should:

- Plan for increasing organisational autonomy through diversifying sources of funding and mobilising local resources

- Involve a broader range of staff in the relation with the Northern NGO. (Brehm 2004:5)

Various guidelines or tool books on NGO partnership give insight to good partnering practice (Dóchas 2013; European Commission 2005; OECD LEED 2006; Sterne, Heaney & Britton [s a]; Tennyson 2011). NGO policies on partnership show the trend to shift from a project to a partner focus and to develop a more strategic focus (Brehm 2001a:3).

The literature review also shows that all partnerships are conditioned by their historical contexts and the environment in which they work. The economic, political, cultural and social environments influence them to be attentive to “specific triggers” (Rein et al 2005:8).

3.4.6 Empowerment in partnership

Effective partnerships between local, national and international organisations are recognised as an effective mechanism for developing empowerment initiatives. They might foster an enabling environment for organisational empowerment. Organisational empowerment in partnerships is categorised by Hennink et al (2012:207) in two contexts. It can be an aim of collaborating to foster the empowerment of the partner organisation or this may be a ‘by-product’ of the collaborative activities (:213). The effects of organisational empowerment are described under 3.3.1 in detail.

The term empowerment might easily be misused in the context of partnership. The lack of a definition or clear principles of empowerment can be disempowering, if, for example, accountability dynamics are not established among the donor, their partners and the target groups. There is evidence that Northern and Southern NGOs were often unable to relate in a balanced partnership that empowers both organisations. The sharing of common principles is an important precondition for healthy partnerships. Key issues of partnering must be considered in the profile of a partnership in order to be empowering. These issues include: common goals, a shared understanding of poverty and power, agreed principles for development and shared values on empowerment. Equality in the way of working and mutuality in respect for

identity and position of each partner should be intended in the partnership. (Fowler 1998:141; Luttrell & Quiroz 2009:14)

Special attention is given to the complex and multidimensional nature of empowerment. Activities for empowerment take place in different development areas or domains as explained under 3.2.6.2. The challenge is to interlink empowerment initiatives that work across different domains. For example, health, agriculture and microcredit organisations could work together to train people in cultivating nutritious produce in gardens. That produce can improve family health or be sold in a small business to foster health and economic empowerment. So, the interlinkage of empowerment initiatives of a few organisations working together in a multi-sectoral partnership could broaden impact and effect change in different domains (Hennink et al 2012:213).

In addition, the partnership discourse is related to efforts to increase sustainability because partnerships are sometimes motivated by the aim to enhance the effectiveness of development interventions. The emphasis on ownership and responsibility reflects the need to enhance sustainability. The lack of sustainability is often attributed to the partner's capacity and aid dependence. The improvement of partnership is the suggested way to achieve more self-reliance through capacity building, transparency and mutual goals. The intersection between the concept of partnership and sustainability shows how concepts overlap (Baaz 2008:7-9).

3.5 CONCLUSION

In this chapter the concepts of empowerment, sustainability of organisations and NGO partnerships were reviewed. All three concepts were discussed separately and in relation to each other.

The connection of the concepts was investigated further through the empirical research. The research instruments for the interviews and the focus group discussions were developed according to the literature, for instance the interview guide refers to the concepts reviewed in this chapter. The process of developing the research instruments (4.4) and the research methods are further explained in the next chapter.

CHAPTER 4 METHODOLOGY AND ETHICAL CONSIDERATIONS

4.1 INTRODUCTION

This chapter will provide the details about the methodology of the research including the methods used for data collection and analysis, the participants involved in the qualitative research and the limitations of the methodology. The qualitative research design is used for this study because attitudes toward the partnership of NRC and NM shall be investigated. The intention is to explore in-depth, the influence of the partnership on the sustainability of NRC which is the focus of the study. With this in mind, the case study design was adopted for this dissertation. The study aims at exploring extensively and understanding instead of confirming or testing. The case study provides an overview of interactional dynamics within a unit of study but does not claim to make generalisations (Kumar 2012:123).

4.2 RESEARCH DESIGN

The case study is a comprehensive research strategy that is mainly used in social sciences. As a research strategy, a case study not only contributes to the knowledge of individual, but also knowledge of organisational and socially related phenomena. It is a preferred strategy to answer “how” or “why” research questions, in situations where the focus of the research is in a real-life context and the researcher has little control over the events. This case study as an empirical inquiry is used to investigate a contemporary phenomenon, especially as the boundaries between the phenomenon and the context are not clearly seen; for example organisational processes or international relations. (Yin 2007:1-13)

The research question focuses on the exploration of the practice of partnership of NRC with the donor organisation in relation to the development of organisational sustainability. The research design of an exploratory case study was chosen to know more about an issue that is of high interest to the researcher. Though the researcher has some knowledge about the situation of NRC in partnership with NM, this knowledge is only one-dimensional, only from

the perspective of a staff member of NRC. The exploratory case study aims at establishing the “shape of the issue” in detail through exploring the views of Ugandan stakeholders of NRC (Thomas 2016:132). The good reputation of the NRC as an NGO in Mityana District makes it a case worth studying for its own sake. Because of the interest in this case itself the study is regarded an intrinsic case study or a local knowledge case (Rule & John 2011:15; Thomas 2016:98).

The case of NRC and its relationship to the donor organisation is the subject of the analysis. So, the unit of analysis and the case is the same in this research (Rule & John 2011:17). The NRC can be regarded a unique case according to its characteristics as a Rehabilitation Centre and the context within Uganda. On the other hand, the case of NRC provides a typical example to explore the issue of sustainability and dependency in the context of development relationships (Yin 2007:41). The approach of the case study is interpretative as I seek to understand the perspectives and positions of stakeholders of NRC who are informed about the situation of NRC in the Ugandan context (:115). The case study provides a partly retrospective focus by analysing the processes which influenced the relationship of NRC with its partner in the past. Subsequently, a snapshot of the current state of the partnership is described in the results of the partnership exploration. My decisions about the type of case study selected are summarised in the following table according to Thomas (2016:114).

TABLE 4.1: SELECTED CASE STUDY DESIGN

Subject	Purpose	Approach	Process	
Local knowledge case	Intrinsic Exploratory	Interpretative	Single case	Retrospective Snapshot

(Source: Thomas 2016:114)

The case study provides the opportunity to use different sources of evidence including documents, interviews and observation (Yin 2007:8). Figure 4.1 provides an overview of the selected research design. After the literature review of concepts central to this study, documents of both organisations were reviewed to explore details of the relationship. Afterwards 12 expert interviews were conducted, to explore the views of participants on the relation between

the concepts of empowerment, organisational sustainability and partnership in depth. Two focus group discussions took place to investigate a wide variety of perspectives.

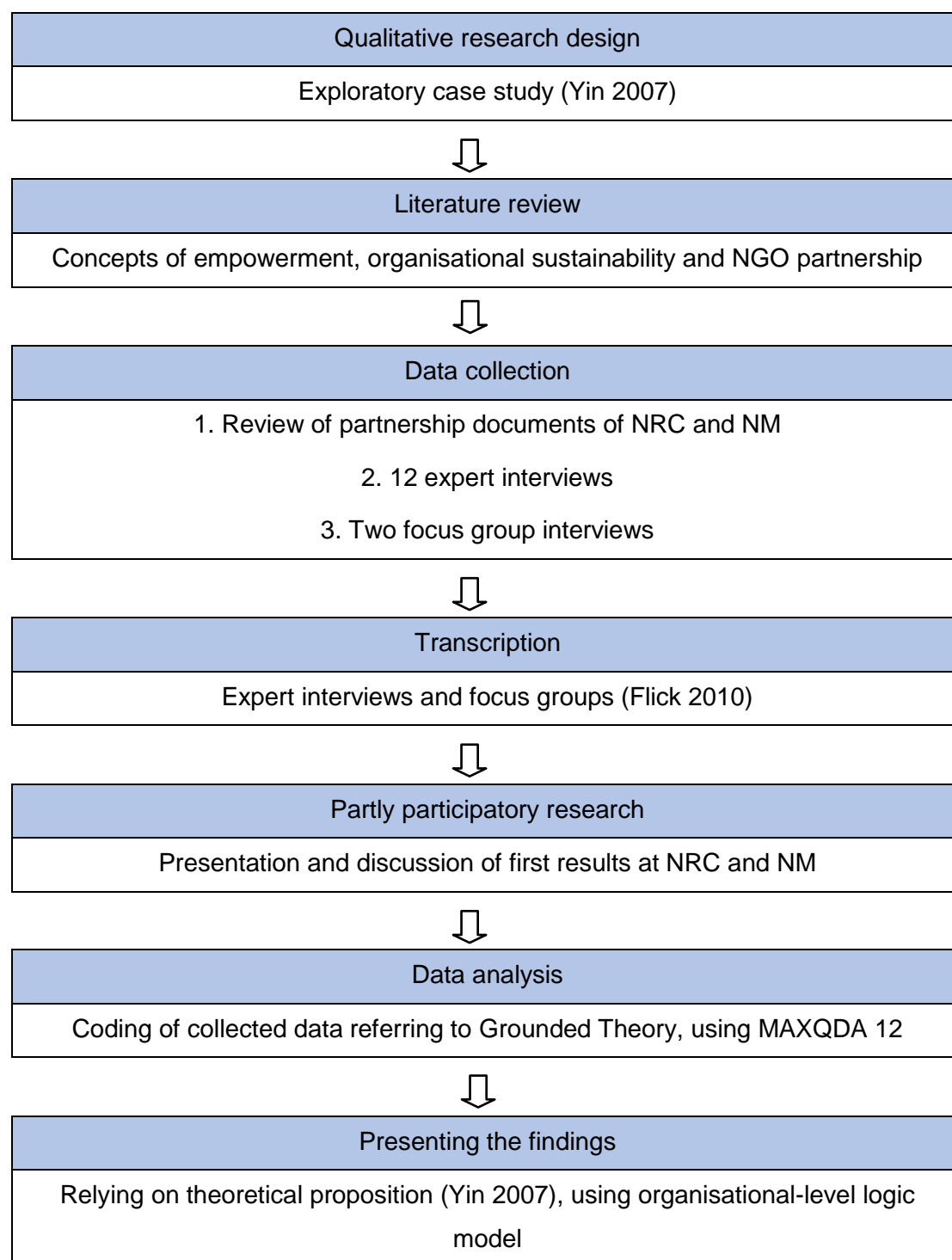


FIGURE 4.1: RESEARCH DESIGN

Multiple sources of evidence were used to complement the other research methods to ensure the validity and reliability of the data through triangulation (Flick 2010:134; Yin 2007:98). The participatory nature of this research was increased by presentation and reflection of the preliminary results of the research with the leadership of NRC and of NM. Before the data were finally analysed, an overview of the common themes in the interviews was explained. This step was taken to allow reflexivity as the participants were asked to comment on the validity of the results.

This study was designed to explore the assumption that NGO partnership contributes towards organisational sustainability. The Grounded Theory (GT) approach was used to develop a theory about this topic. This theory was generated inductively through systematic collection and analysis of data. The data analysis was done by coding and memo-taking to identify patterns and themes relevant to the research topic. (Rule & John 2011:98)

The analysis of case study evidence followed the general strategy of relying on theoretical propositions (Yin 2007:111). The specific analytical technique of the logic model is part of the general strategy to answer the research question and develop an in-depth understanding of the case (:130).

4.3 SAMPLING TECHNIQUE

The selection of a subgroup of the population, which is the group of interest for this research, was done in accordance with the research problem (Kumar 2012:177). The scope of the research was limited to the case study of NRC and the study population consisted of persons in direct contact with the NRC. The selection of the participants of the research was based on purposive sampling. In this sampling method “information-rich” cases are chosen to be studied in depth. The researcher can learn a lot from these cases, about issues of central importance to the purpose of the research question (Flick 2010:134; Patton 1990:169). Staff members and stakeholders were selected as information-rich cases for the expert interviews according to their expected capacity to provide new insight on the research subject.

Stratified purposeful sampling was chosen as the sampling strategy for the expert interviews. This means that subgroups of interests were chosen to

facilitate comparison (Patton 1990:182). The persons selected for the expert interviews should have administrative or leadership experience and familiarity with issues of strategic planning and cooperation between NGOs.

The sampling frame for expert interviews included two groups (see Table 4.2). One group consisted of people with some years of experience of close contact with NRC and NM. The second group consisted of stakeholders from organisations or institutions with limited knowledge about the details of the partnership of NRC and NM for example CoRSU, Katalemwa Cheshire Home, Namutamba Health Centre.

TABLE 4.2: SAMPLING EXPERT INTERVIEWS

Group 1		Group 2	
Position	Gender	Position	Gender
3 Management members of NRC	female male male	1 Representative of the Government (Mityana District)	male
2 Board members of NRC	male male	3 Representatives of partnering organisations	male male female
2 Advisors of the Board	female male	1 Representative of the Church (Mityana Diocese)	male

The sampling frame for the focus groups also included two groups. The first focus group was composed of different stakeholders with diverse perspectives on the research topic (see Table 4.3). This heterogeneous group was chosen to provide a wide range of views on the topic (Patton 1990:182). This maximum variation sampling was done of community members of Namutamba village and residents of NRC. The local community represents important stakeholders of NRC and therefore receives special attention.

TABLE 4.3: SAMPLING FOCUS GROUP 1

Position	Profession	Gender	Age
Board member	Teacher (retired)	female	58
Former Board member	Director (retired)	male	64
Former client	Business woman	female	28
Former client	Tailor, shop keeper	male	41
Neighbour	Self-employed	male	32
Neighbour	Teacher/ business woman	female	52
Mother of client	House wife	female	29
Client	Student	male	18

The second focus group participated as a homogeneous group composed of staff members with similar background. This homogenous sampling facilitated group interviewing with reduced variation and clear focus on the research questions. The second focus group consisted of the following persons:

TABLE 4.4: SAMPLING FOCUS GROUP 2

Profession	Gender	Age
Physiotherapist	male	32
Occupational therapist	male	27
Social worker	male	30
Assistant in the medical department	female	42
Teacher	female	57
Day matron	female	62
Cook	female	44
Agriculture assistant	male	23

The sample size was limited by the characteristics needed to qualify as staff members and stakeholders of NRC. The sample size was limited to 12 expert interviews and 2 focus group interviews with each 8-10 participants. Theoretical saturation of the sampling was used for expert interviews only. The researcher requested the NRC to contact partnering organisations to select available representatives that could participate in the study. In addition, management members of NRC were requested to participate. After conducting 8 interviews, it was decided to add 4 more interviews that were suggested by the leadership of NRC to provide new material or additional data (Glaser & Strauss 2012:61).

4.4 METHODS OF DATA COLLECTION

Document analysis, expert interviews and focus groups provided the data for the research. The purpose of using interviews in this study was to gain access to specific knowledge possessed by experts. Interviewing using qualitative research methods, attempts to understand “the world from the subject's point of view”. This will unfold the meaning of their experiences and uncover their lived world view in relation to the research topic. The interviewer wants to explore the aspects of the interviewee’s life, world and is open to new phenomena. (Brinkmann & Kvale 2015:3,33)

The expert interview is used for exploration of a certain field to provide thematic structure and generate hypothesis (Flick 2010:165). It was selected for this study as a specific form of semi-structured interview, because the interest of the researcher was not in the person themselves, but in their capacity as an expert in a certain field. The interviewees represented a group of experts, for example the staff members of the organisation. This type of interview is categorised as a systematising expert interview to collect complete and systematic information according to the typology of Bogner and Menz (2009:46-47).

Focus groups are recommended as an effective way to collect rich and useful data. This approach uses the synergy of a group providing insights into attitudes that underlie behaviours, feelings and experiences (Carey & Asbury 2016:25). Focus group interviews are well suited for exploratory studies in a new domain as they encourage a variety of viewpoints (Brinkmann & Kvale 2015:175). This

method was chosen because it is comparable to everyday interactions and benefits from the dynamic of a group discussion. The discussion in the focus group focused on the topic of partnership and was aiming at collecting in-depth information from various perspectives of the participants.

The following table summarises the decisions about the collection methods in detail, according to Rule and John (2011:63).

TABLE 4.5: DATA COLLECTION METHODS

Key research question	Data collection method and data source	Data collection instruments	List of field questions
1. What form of partnership was developed between NRC and the donor organisation?	Analysing of documents of NRC and NM	Filing of reports, minutes, correspondence and note-taking	Which documents of the partnership process are accessible? What are the characteristics of the partnership?
2. What are the views and experience of stakeholders of NRC regarding the partnership?	Expert and focus group interviews with staff members and stakeholders of NRC	Audio-recording and note-taking (Rule& John 2011:66)	What are the experiences and changes realised at NRC? What are achievements and challenges of the partnership?
3. Which factors of the partnership contribute towards organisational sustainability of NRC?	Expert and focus group interviews with staff members and stakeholders of NRC	Audio-recording and note-taking (Rule& John 2011:66)	What are the achievements and challenges of the partnership? How to increase the sustainability?

The literature review provided the background for the selection of appropriate instruments for data collection. The research instrument for the interviews was

developed using the 'checklist for sustaining outcomes' of partnerships in the 'review and revising' phase of the partnership cycle (Halper 2009:11-12; Rickett 2008:86). The assessment of the performance of the NGO in relation to its mission was the starting point for exploring the organisational sustainability (Fowler 2000b:183).

Fowler's (2000:183) model of the spiral of the interactive processes of the NGO with the environment (Figure 3.5) was used to frame the questions of the interview. The following parts of the model were considered: the performance and reputation of the organisation and its potential for learning and adaptation. The appreciative inquiry was selected as a technique to develop focus group questions including the empowerment aspect, into the methods of research.

The instruments of data collection were filing systems, interview schedules, an audio-recorder and note-taking. The data were organised by electronic filing.

4.4.1 Analysis of documents

Document analysis is regarded a useful place to start data collection in a case study. Documents help to understand social realities in institutional contexts. Different types of primary sources like reports, minutes and correspondence provided a sense of the case, its different parts and its history. They are regarded as communicative devices produced and used for a specific purpose and not as bias-free data or "containers of content". (Flick 2010:261-262)

Records of administrative processes of NRC and the partner, produced for practical purpose or communication were selected for the data analysis. All documents were written in English. The document review was organised around the themes of partnership and organisational sustainability aiming at collecting the most relevant information. The accessibility of documents, their purpose and context of production influenced the choice of documents (Table 4.6). The documents were assessed for authenticity, credibility, representativeness, meaning and filed according to their relevance. The methods of coding and categorising were applied following the process explained under 4.5.2 (Rule & John 2011:67).

TABLE 4.6: LIST OF DOCUMENTS

Origin of document	Title of document	Identifier
NRC documents	Strategic plan 2012	not analysed
	Minutes of Board meeting October 2013	1/2013
	Minutes of Board meeting May 2015	2/2015
	Minutes of Board meeting July 2015	3/2015
	Minutes of Board meeting April 2016	not analysed
	Namutamba Newsletter 2016	4/2016
	Minutes of Board meeting February 2017	5/2017
	Minutes of Board meeting March 2017	6/2017
	Minutes of Board meeting August 2017	7/2017
	Annual review 2017	8/2018
NM documents	Meeting with external advisor 2010	9/2010
	Memorandum of understanding 2012	10/2012
	Time frame handover 2013	11/2013
	Meeting with external advisor 2014	not analysed
	Letter to NRC Board 2015	not analysed
	Letter handover ceremony 2016	12/2016

4.4.2 Expert interviews

The interviews were planned in two phases (Table 4.7). The phase of orientation included the planning of interviews and the sampling. Interview partners were contacted, and a time frame developed. 12 expert interviews were conducted in the main research phase.

TABLE 4.7: PHASES OF THE INTERVIEW PROCESS

1. Phase of orientation	<ul style="list-style-type: none"> • Contact people in the field via email • Get overview of situation • First suggestions for interview partners • Develop time frame for field work
2. Main research cycle	<ul style="list-style-type: none"> • Follow purposeful sampling • Conduct interviews according to sampling (people representing different systems/ groups)

(Source: Froschauer & Lueger 2003:54)

The selection of interview partners followed the question of “Who might confirm or disconfirm made assumptions?” So, minimum and maximum variation was considered. The interview was structured by an interview guide which was tested before the field work started. The interview guide (Appendix C) includes questions about the general experience with NGO partnerships and especially about the partnership of NRC. Special attention was given to the factors of partnership that influence organisational sustainability. The interviews (Appendix D) were open to explore the topics mentioned by the partner in depth and to clarify areas not yet mentioned. All interviews were conducted in English. However, the point of interviewing across cultures was considered as it is difficult to be aware of the multitude of cultural factors for example, habits, practices, positions and narrative resources (Brinkmann & Kvale 2015:168).

The problem of having an undesired confusion between the unit of data collection and the unit of data analysis had to be observed. While the data collection was heavily reliant on information from individuals, the information to be analysed, was about the organisation where the individuals work or are related to. That is why the conclusion could not rely on individual interviews only but also included focus groups and documents. (Yin 2007:76)

4.4.3 Focus groups

Two focus group interviews were conducted to analyse the views of staff members and stakeholders of NRC. The focus group discussion included

working on a partnership timeline and appreciative inquiry about the partnership (Appendices E and F).

The partnership timeline as a tool helped to develop a shared understanding of significant events that shaped the history of the partnership. It was a way to understand each other's perspective and to recognise achievements (Squire 2012:16). After discussing the partnership timeline of the NRC, the appreciative inquiry was used as a tool to focus on the positive achievements of the past aiming at imagining and creating a better future. The questions of the focus group interviews focused on the experience of the participants to facilitate a discussion in a nonthreatening atmosphere. The appreciative inquiry approach encourages reflecting on the conditions that produced success, and on what empowered and gave motivation and inspiration. It is a capacity building process that helps to ignite collective imagination of the future. The approach involves four stages: discovery, design, dream and delivery. The focus on the positive might be a limitation of this approach as the exclusion of the negative produces only a partial account of the topic. Triangulation of data was used to obtain a balanced understanding of the phenomenon explored in this research and to avoid selectiveness. (Booy & Sena 1999:40-43; Reed 2007:32,75)

The first focus group was selected as a heterogeneous group providing a wide range of views on the topic through maximum variation. The group included persons with disabilities, their guardians and community members with different relations to the NRC. The discussion was done in Luganda language with a rough translation of the main points into English. The second focus group participated as a homogeneous group with minimum variation composed of staff members to provide maximum expertise. Luganda and English were used for the discussion with simultaneous translation. The discussions gave room for reasoning, agreement or disagreement (Flick 2010:197). Special attention was given to balance the focus groups regarding sex, age and ethnic groups. If individuals feel that they are disproportionately represented in a group, they might not contribute freely to the discussion because of social constraints. So, for each group a few participants with similar characteristics were selected to create a comfortable atmosphere for discussion. The management of the focus

group interview was done in a way to balance the personalities and characteristics of group members. (Bell 2005:163)

4.4.4 Pilot case study and pre-test

A pilot case study is suggested as final preparation for data collection. The pilot case study should help to refine the data collection plans. It is more than a pre-test because it can help to develop relevant lines of questioning and bring conceptual clarification. The site for the pilot study and the informants must be accessible and geographically convenient for the researcher. The inquiry for the pilot case might be broader than in the final plan and cover substantial and methodological issues (Yin 2007:79,80).

A pilot case study was done in an organisation with a similar context in East Congo. A self-assessment of NGO capacity was facilitated by the researcher as an external advisor at the Centre for Education and Community Based Rehabilitation (CERBC) in Aru. The process of appraising the capacity of the NGO was initiated by the German partner of the NGO. The three key areas of the organisational framework: internal organisation, program performance and external linkages were part of the self-assessment (Fowler 2007:5). It included document review, observation, interviews and focus groups with local stakeholders of the NGO. During that assessment the concept for the study at NRC was clarified and the data collection methods tested.

For the expert interviews of the case study of NRC a pre-test was conducted. An interview was planned with a well-known informant who was easily accessible to the researcher. The interview was done via skype and audio recorded. The interview guide had a broader range of questions for that interview than the final version did. In addition, methodological issues could be discussed and adjusted. The lessons learned from the pilot interview were documented and changes made accordingly. The main focus was to check the design of the interview guide, to discuss the methodology and to practice the role as interviewer. In the pre-test it was identified that the questions were quite short, so it was difficult for the interviewee to easily understand the context. As a result, the questions were rewritten and explained in more detail. The starting question was added to get to know the personal connection of the participant to the NRC and to create a personal atmosphere for the interview. The starting

question focused on aspects of the life of the participant and created more narration (Froschauer & Lueger 2003:62). Also, the order of questions was rearranged, and some questions adapted for better understanding. It was realised that questions in relation to achievements, partnership and sustainability determine a significant part of the interview. These questions could lead to various points of view about the topics discussed (:78).

The interviewer adopted an active listening approach, accepting different views while keeping in mind the opinion of the interview partner is right in his or her own perspective. It was necessary to create an open atmosphere to make the interviewee feel free to present his or her own opinion. The suggestion for the final interviews was to vary questions and to adjust the interview guide according to each situation as it is not possible to compare the interviews directly. (Froschauer & Lueger 2003:54)

4.5 DATA ANALYSIS

4.5.1 Data analysis strategy

Exploratory case studies do not aim at testing existing theories but at generating new concepts or theories (Rule & John 2011:98). The aim of this study is to answer questions about the influence of NGO partnership on organisational sustainability. The study seeks to provide more insight of how the partnership of NRC with NM influences the organisational sustainability of NRC. The strategy of data analysis is outlined in Figure 4.2.

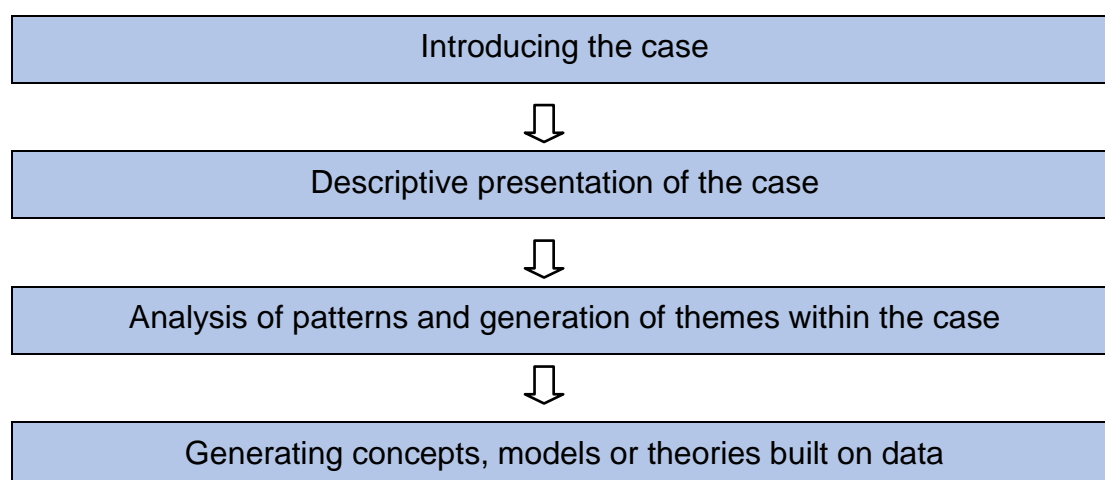


FIGURE 4.2: A SEQUENTIAL MODEL OF THEORY BUILDING

(Source: adapted from Rule & John 2011:99)

The case of the NRC in partnership with NM was presented and described in Chapter 3. The data collection according to the Grounded Theory (GT) approach was done following the research design described under 4.2.

The analysis of pattern and generation of themes engaged the processes of coding and memo-making. Out of the interpretation of the data, the findings of the case study were presented. The analysis of case study evidence followed the general strategy of relying on theoretical propositions. The proposition that led to this case study is the assumption that NGO partnership should contribute towards organisational sustainability. The data analysis focused on the exploration of the theoretical proposition about the above-mentioned causal relation following the Grounded Theory approach. (Yin 2007:112)

A specific way of concluding a case study is to develop a model, concept or theory for understanding the explored phenomenon. This provides a specific way of summarising main theoretical insights emerging from the data. The analytical technique of a logic model is used to analyse the case study evidence and present the results of this research. The case is regarded as a bounded system with several parts of this case that can be explored separately but also in relation to each other. This understanding of a case study provided the opportunity to develop a model that presents the parts of a case and how they are connected to each other. The organisational-level logic model might reflect a hypothesis and contain competing explanations. It can serve as starting point for future study and knowledge construction. (Rule & John 2011:130; Yin 2007:127,130)

The kind of theory that emerged from the GT approach is categorised as a local theory that does not claim to explain phenomena in other settings. It is a “substantive theory” that explains issues in a particular kind of social setting (Rule & John 2011:99). After the development of the model, the results of the research were discussed based on the previous literature review. A conclusion of the case study was drawn according to the research questions.

4.5.2 Process of data analysis

The data collected during the field work were filed and stored for analysis. Field notes provide further information about the process of data collection. The interviews were recorded and transcribed according to Flick (2010)

(Appendices D and F). Transcribing interviews is the initial analytical process that structures the interview conversation at the beginning of analysis (Brinkmann & Kvale 2015:206). The transcription was done “as exactly as is required by the research question” (Flick 2010:299). This process helped the researcher to concentrate on the interpretation of the data instead of spending too much time and energy on transcription details.

The process of data analysis followed in part Grounded Theory, to provide an approach for interpretative research. It enables the process of drawing themes from qualitative data. GT is regarded as a set of principles and practices that can complement other approaches to qualitative data analysis. The interpretation of data is the core of the empirical procedure in the GT approach (Charmaz 2006:9,48; Flick 2010:306; Thomas 2016:210).

The data collection did not follow the theoretical sampling of GT but the purposeful sampling because of the limited number of stakeholders who were available for interviews and the limited time of field work.

GT coding was used as the procedure to analyse the collected data because this approach seeks to develop a theory about a phenomenon by studying it (Rule & John 2011:98). Coding is regarded as the most common form of computer analysis today. It involves reading the transcript, coding relevant passages and recoding and combining codes. These are early approaches to obtain an overview of the collected data. During this process, detailed memos were used to record thoughts about the codes (Brinkmann & Kvale 2015:227).

Open or initial coding was the first state of coding. The text was analysed in the form of marking segments or units with a specific meaning and attaching topics or categories to them. The researcher was passing through the data, comparing different parts and beginning to make categories. The text was opening up by addressing it with the following basic questions: What is the issue? Which persons are involved? Which aspects are mentioned? When? Where? How long? Why? What for? This means “breaking down, comparing and categorizing data” (Strauss & Corbin 1990:61). The text was coded sentence by sentence or paragraph by paragraph. A preferred method of labelling was using expressions from the interviewees’ as “in vivo codes”. So, first concepts

were identified and developed in terms of their properties and dimensions by locating the contents of a category along a continuum (Flick 2010:309).

The process of developing concepts began by gathering data inductively and posing a hypothesis that could be confirmed or rejected. Induction includes the steps that lead to the development of a temporary hypothesis. Deduction means to derive implications of a hypothesis to verify or test the validity of it. Deductive reasoning is used after collecting the first data for further sampling and additional data collection. (Milliken 1010:4; Strauss 1994:37)

Axial coding was conducted for all groups of collected data and is described in the following chapter for project documents, expert interviews and focus groups separately. Axial coding was the second stage where the researcher organised and regrouped the categories by making new connections between the categories found through the first stage of coding. The paradigm model displayed in Figure 4.3 was suggested to formulate the relations between the codes. This model serves to clarify the relations between phenomena, their causes and consequences on one axis. The other axis shows the relation between the context, intervening conditions and actions and strategies of participants. Axial coding is regarded a complex process of inductive and deductive thinking (Flick 2010:311).

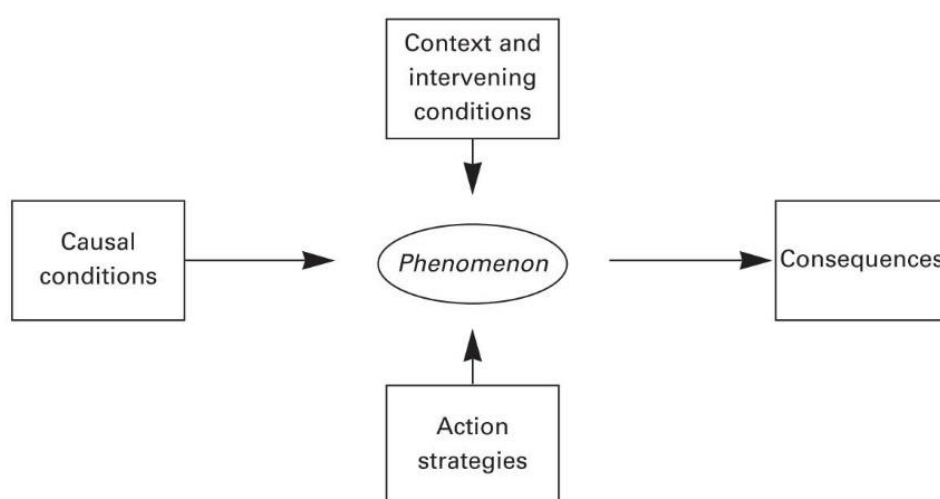


FIGURE 4.3: PARADIGM MODEL

(Source: Böhm 2004:272)

The following definitions were used to describe the relations of categories around a phenomenon.

Phenomenon: The phenomenon is an event or a fact. The actions of individuals or interactions of groups revolve around that phenomenon.

Causal conditions: The cause or causal conditions contribute to the occurrence of the phenomenon.

Context and intervening conditions: The causes of a phenomenon are only valid in a particular set of conditions. The context includes time, place and duration while intervening conditions involve the social, political and cultural environment.

Action strategies: Actions are processes that take place in a sequence. They are goal-oriented and may be part of a strategy.

Consequences: The actions or interactions described lead to particular consequences. (Böhm 2004:272; Flick 2010:311)

It was sometimes difficult to decide between “context” and “intervening conditions” or between “causes” and “consequences”. The decisions depend on the perception of the researcher but were done in a pragmatic way (Breuer 2009:87).

The selective coding phase was the final stage where main themes were drawn, core categories selected and related to other categories. The aim was to discover patterns in the data and the conditions under which they apply, for developing a theory around these concepts. The result should be one central category or phenomenon that is linked to all other categories. Finally, a theory could be formulated and checked again with the data. (Flick 2010:312; Rule & John 2011:98; Thomas 2016:210,211)

The data were analysed with “MAXQDA 12”, software for professional qualitative data analysis. Coding was done as a combination of a detailed analysis of most parts of the text and a rough summary of others. The GT approach was followed partially as an analytical frame to build the analysis of the collected data (Charmaz 2006:45).

4.6 LIMITATIONS OF METHODOLOGY

Some traditional prejudices exist against case study research. A common concern is that case studies provide a small basis for scientific generalisation.

Research in natural sciences is aimed at generalisable findings which have implications to build theory. In human behaviour, it is difficult to generalise findings because too many elements are specific to the group or institution under research. Therefore, the specific development context of this single case study needs to be considered when applying any results of this research in another situation. (Yin 2007:10,11)

Another reservation about case study research is the lack of rigor in the strategy used when the researcher does not follow systematic procedures. The research design of this study was presented in detail under 4.2 to avoid this complaint. Beside its limitations the case study design is recommended as an appropriate approach to study one aspect of a problem in depth and therefore was selected for this study. (Bell 2005:11; Gillham 2000:6)

Other limitations of the research might stem from the chosen data collection methods. The quality of the collected data depends on the quality of the interaction and the quality of the interviewer. The experience, skills and the bias of the researchers might limit the quality of generated data (Kumar 2012:142). This point was considered, and the researcher developed skills of conducting expert interviews and focus groups through the practice of these techniques in the pilot phase of the study. Lessons learned from that practice included learning how to ask the right questions, probing in an appropriate way and developing a high level of expertise on the topic myself (Flick 2010:168).

In the expert interview the interview guide has a strong directive function to exclude unproductive topics from the interview (:167). So, the openness of questioning was limited by the interview guide. But the instrument of the interview guide was necessary to ensure that the essential topics for the research project were included. Open questions were used in order to have the opportunity to explore the perspectives of the interviewee (Gillham 2000:64).

The choice of the sample for the interviews was influenced by the availability, convenience and travel distance for both sides. One limitation of expert interviews is the narrow focus on the knowledge of a specific group when used as single method. Therefore, focus group interviews with staff members and stakeholders were conducted as well as reviews of organisational documents.

The validity of this research and its correctness and truth needed to be tested by providing sound, well-grounded, justifiable, strong, and convincing arguments to support the findings. Therefore, the trustworthiness of reports and information were carefully checked (Brinkmann & Kvale 2015:282). The sound logic of interpretation was specially considered in analysing the focus group data. Here it might be problematic to identify opinions of individuals or subgroups because of the influence of the group dynamic (Flick 2010:134,202). Also, the mixed level of literacy and language barriers limited the discussion to some degree. All observations and thoughts from the researcher during that process were recorded by using memos.

Analysis of documents was challenged by the question of how to interpret the relation between the content of a document, its implicit meaning and the context in which it was written in. Documents are produced for a specific purpose. So, the question was asked: Who has produced this document and for what purpose? In this way, the data was analysed regarding the document as a communicative device with a specific context and meaning for the author and the reader (Flick 2010:261).

The practical and logistical circumstances such as the size of the research budget and the time available for the study, created certain limitations. Also, my personal attributes such as status, gender, age and language barriers have influenced the data collection (Rule & John 2011:110). Being aware of these limitations, I aimed at research objectivity by providing reliable and controlled knowledge, undistorted by personal bias or prior assumptions of the case (Brinkmann & Kvale 2015:278; Rule & John 2011:21).

4.7 ETHICAL CONSIDERATIONS

Ethical considerations had to be included right from the beginning of the planning of the research. The conduct of ethically informed research needed to be considered especially in qualitative research design. The moral principles of research ethics concerning the rights and dignity of the participants, the beneficence and nonmaleficence of the research and justice between participants had to be considered. (Mouton 2013:243)

This case study involves institutional research. Therefore, consent from the participants and the leadership of the institution was required. Detailed information about the research process was provided to the leader of the organisation by email in advance of the study. Written consent forms were signed by the participants and the Chairman of the Board of the NGO before the primary data collection (Appendices A and B).

This study is considered as research with low risk for participants. The strategy for avoiding participant risks includes the following measures for privacy, anonymity, and confidentiality. Interviews were made anonymous to avoid any disadvantage for the interview partners. The size of the sample was two focus groups with 8-10 participants and 12 individual interviews. The gender composition of the group was as balanced as possible. The protection of the participants in the research was respected; and, therefore, participants were informed about the reason and procedure of the research. They were given the option to participate voluntarily and only with their informed consent. Sufficient information and ample opportunity to participate or withdraw was given especially to employees of NRC and persons with disabilities (Nagle & Williams 2013:7; Thomas 2016:93).

Three persons with disabilities were included in the expert interviews and focus groups in order to include the views of the primary stakeholders of the NRC. The rights and interests of participants of this vulnerable group were considered in a special way. Participants were selected who are self-confident, who are used to participating in community meetings and sharing their opinions. Information about the research process was given in advance and participants' consents were obtained. The privacy and dignity of people with disabilities were protected during the research process by considering their special needs, but otherwise they were valued in the same way as the other participants.

Anonymity was granted by use of pseudonyms or code numbers and characteristics were disguised which would identify the person. Difficulties with confidentiality in the group discussions or conflicts of interests between participants that could arise were addressed in advance of the activity. While collecting and analysing data special attention was given to keep data secure on the computer. (Blaxter, Hughes & Tight 2014:161)

The research was designed in a way to reduce risks for the participants and to increase possible beneficial outcomes for the individuals and the institution. Better working conditions in a sustainable organisation were positive outcomes that the study strove for. Research conduct had to be honest and transparent because of the moral commitment that scientists are required to make to the search for truth and knowledge (Mouton 2013:239). The researcher was to be honest about own capacities and limitations as well as about contributions from other researchers. Bias on the part of the researcher is unethical and must be controlled because subjectivity due to background and competence might influence the research (Kumar 2012:221).

4.8 CONCLUSION

In this chapter the methodology of this research was stated. The exploratory case study was identified and explained as a qualitative method to provide an in-depth description of a phenomenon. The strengths of this method are high construct validity and in-depth insights and rapport with research participants. The limitations are that there is a lack of generalisability, non-standardisation of measurement and the time-consuming process of data collection and analysis (Mouton 2013:150). The guidelines of research ethics followed in this case study were specified in this chapter. The following chapter will provide details and results of the data analysis.

CHAPTER 5 RESULTS OF DATA ANALYSIS

5.1 INTRODUCTION

Before finalising the field work, a rough overview of findings from expert interviews and focus group discussions was introduced to the leadership of NRC to confirm the right understanding of the information by the researcher. The leadership of NRC confirmed the applicability of the information and was interested to include the findings of the research into further plans for the development of NRC and the partnership with the NM.

Afterwards, the data analysis was started following Grounded Theory (GT). The data analysis in GT does not provide a process of clearly distinguished phases but includes “moving back and forth” between the steps of open, axial and selective coding by the researcher. Coding implies the way of handling data to analyse them, finding concepts and putting them together in a new concept or category. The process of coding should lead to the development of a theory by starting close to the text and becoming more abstract later. Consequently, coding included the comparison of phenomena and concepts and addressing questions to the text. Finally, the concepts and categories were summarised by formulating networks of concepts and their relations. (Flick 12010:307)

5.1.1 Data analysis using open coding

The process of data analysis following GT started with open coding as the first part of data interpretation. This first coding of data from all sources started in an inductive way of reasoning by comparing different parts of the text and labelling concepts or themes. The method of using expressions from the interviewees’ as “in vivo codes” was preferred (Charmaz 2006:55). In vivo codes are for instance the following: “sustainability is main concern”, “to prepare the soup”, “be visionary and flexible” or “not enough to sustain”.

The codes were grouped under categories which are relevant to the research questions. The following concepts emerged after the first phase of open coding: “mission of NRC”, “achievements”, “recognition by public”, “opportunities for NRC” and others. The categories or codes with their subcodes formed a first code system which is seen in Appendix G.

TABLE 5.1: CODE SYSTEM OF ALL DATA SOURCES

Categories	Subcodes		
NRC as NGO	Context		
	history	start of the ministry changes former IGPs	
	mission of NRC	vision	
	achievements of NRC	being stakeholders	
		children benefitting	health education/ skills empowerment big numbers
		parents support	empowerment
		area	community structure unique services change of attitude referral centre
		recognition by public	by government well recognised not well recognised
		existing networks	partnerships
	Board of NRC	strong aspects	sustainability concern personal commitment
		weak aspects	responsibilities unclear composition relation to NM
organisational sustainability	start M&E		
	improve structure		
	market our work	PR staff	
		local	
		national	success & visibility champions
		global	
	aim at lasting impact	diversification	no
		education/ skills	
		expanding services	empower households
	networking	get new partners	implications
		work with stakeholders	church
		get other supporters	
	triggers	accountability	
		Ugandan ownership	
		leadership	build capacity
	challenges	dependency	
		land title	
		location	or advantage?
		staff	understaffed further training improved salaries
financial sustainability	self-reliance	planning challenging	
	resource mobilisation	human resource	

		local financial resources	context/ culture reducing expenses not enough to sustain
		methods	increase user fees individual support fund raising
	support by government	not much	
		implications	
		little hope	
		hope	staff placement & PHC
	IGP needed	ideas	identification difficult complementing mission with experience no experience
	challenges	dependency	
		IGP management	human resource starting capital
		high medical costs	
		low budget	epilepsy project stopped
handover	development		
	insecurity		
	need for strategy for sustainability	part of NRC	develop strategic plan
		part of NM	capacity building donations connecting focus on NRC
		round table	plan with donor involve stakeholders
		long-time frame	evaluation needed
partnership with NM	achievements	good relationship	communication
		sustaining NRC	financial support network with supporters volunteers supporting NRC vision
	changes	no changes	
	challenges	no challenges	
		uncertainty about partnership	transition need for partnership agreement
	recommendations	both sides	continue partnership communication evaluation
		part of NM	updating financial support practical support networking exchange visits
		part of NRC	receiving personnel good communication reports from NRC

During the whole process of coding ideas, questions and impressions were noted in the form of memos which further explain the codes and categories or include remarks about observations made.

When passing again through the data from all sources the coding included deductive reasoning. Ideas for labels and categories were taken from the literature referring to the research questions which increased the code system for all sources (Table 5.1). The process of deductive reasoning increased the number of codings and categories. All categories and numbers of codings are displayed in Appendix G. Examples for new categories are: “being accountable”, “start M&E”, “success & visibility” or “IGP management”. The main categories, developed through the process of a repeated inductive and deductive way of coding, reflect the literature reviewed earlier in this study: “NRC as NGO” (2.2), “organisational sustainability” (3.3.2), “financial sustainability” (3.3.3), “handover” (3.4.3) and “partnership with NM” (2.4.3, 3.4).

5.1.2 Dimensions and properties of the data

Another part of the coding process included developing categories by using dimensions and properties of the data. The properties or different aspects of a concept can be developed through further explanation and categorising. The dimensions of a category display its contents located along a continuum to emphasise their level or intensity (Charmaz 2006:60). For instance, the category “Board of NRC” contains the dimension “strong aspects” and “weak aspects” of the Board. The subcategory “personal commitment” is classified as a strong aspect which provides information about the engagement of the Board members with the following examples:

But first of all, the people must be very committed, and they must have a passion for the kind of work Namutamba is doing. I have met some and they are committed. [...] So, you can be a committed member of any other meeting, but this one, the one in Namutamba needs an extra mile.

Code: ● NRC as NGO\Board of NRC\strong aspects\personal commitment. Interview 6

Some Board members sometimes contribute.

Code: ● NRC as NGO\Board of NRC\strong aspects\personal commitment. focus groups\Focus group 1

The category “responsibilities not clear” describes a weak aspect of the Board characteristics. The following codings are examples for this category:

So, this period I want a transition to begin with a clear job description of the Board.

Code: ● NRC as NGO\Board of NRC\weak aspects\responsibilities not clear. Interview 2

But at the same time [mhm] I would pinpoint that people do what they are supposed to do. “You get this, to, to implement this,” and so on and so forth. So, that when the Board members are given responsibilities, they don’t take it as, “I will do it when I get time” and whatever and so on.

Code: ● NRC as NGO\Board of NRC\weak aspects\responsibilities not clear. Interview 3

Mhm, like the responsibilities of a Board. Ya, we talk about it and everybody feels they know their responsibility. But that may not be the issue. [...] But if they know, that if you become a Board member this is your responsibility, this is what is expected of you.

Code: ● NRC as NGO\Board of NRC\weak aspects\responsibilities not clear. Interview 6

The following categories provide more examples of developed dimensions:

- Financial sustainability/ support by government/ little hope - hope
- Financial sustainability/ IGP needed/ identification of ideas/ with some experience - with no experience.

When possible the different aspects of a category were given a numeric value or weight as in the following example. The category “recognition by public” was rated in the following way: appreciation - 100, very well recognised - 75, well recognised - 50, not well recognised - 25, not recognised - 0.

So, the public appreciate that. Especially, locations around Mityana, a bit of Mubende and even Kampala some of them.

Code: ● NRC as NGO\achievements of NRC\recognition by public\well recognised\appreciated
weight: 100

Interview 10

Ya, the work done in NRC is seen. [...] It is countable. It can be said, “10 or 30 or whatever children have been what? Have been getting services from NRC.” So, it is not something you can ignore, you can, you may not say, “I don’t see.” It is a real thing. And we are very happy. We are very happy. And we are glad that we have that NRC.

Code: ● NRC as NGO\achievements of NRC\recognition by public\well recognised weight: 75

Interview 12

And at least if you ask anywhere around they know about NRC, I think.

Code: ● NRC as NGO\achievements of NRC\recognition by public\well recognised weight: 50

Interview 8

It is, it is not well exposed. I don’t think there are-, a wide spread at a community outside Namutamba is aware of what is happening at NRC.

Code: ● NRC as NGO\achievements of NRC\recognition by public\not well recognised weight: 25

Interview 3

Because most people I try to talk to, they don't know about Namutamba, that rehabilitation project.

Code: ● NRC as NGO\achievements of NRC\recognition by public\not well recognised weight: 0
Interview 6

5.2 PROJECT DOCUMENTS

Out of documents written by NRC and NM between 2010 and 2018, 16 documents were selected for the process of data analysis (Table 4.6). These documents proved to be authentic, credible and they provide information about the topic of sustainability and the partnership between NRC and NM. Four documents did not contain new and relevant information about the topics under research and were not coded. A code system provides an overview about the codings given and themes mentioned in each document (Appendix G).

5.2.1 NRC documents

The first coded eight documents of NRC include Minutes of Board meetings and Annual reviews of NRC organised in chronological order (Table 4.6). The themes of financial sustainability, organisational aspects and sustainability play a main role in the documents under review while the partnership with NM and the handover process are not often mentioned.

Other relevant topics are the achievements of NRC and Board issues of NRC which are obvious themes according to the character of the chosen documents. Marketing of the NRC and networking with other organisations are regarded as influential for the organisational sustainability of NRC. The financial sustainability is discussed as a challenge and subsequently, the need for income generating projects (IGP) and resource mobilisation plays a corresponding role in the documents. Special attention is given to the aspect of financial and technical support by the government for the financial sustainability of NRC. The code system in Figure 5.1 gives an overview about frequently mentioned topics in the documents. In addition, the Code-Matrix-Browser was used as a tool that provides an overview about the number of codings given for each category in each document (Appendix G).

The “Annual review 2017 of NRC” (8/2018) provides the most relevant facts for the research. The document gives a general review about the NGO, its mission, the context and the achievements of the NRC in 2017.



FIGURE 5.1: CODE SYSTEM NRC DOCUMENTS

The main achievements of NRC are realised in the high number of children empowered through the holistic services of NRC and the attitude-changing impact of these interventions on parents and communities. The need for continuous activities and programs to fulfil the vision of NRC is stated in the documents. The organisational sustainability of NRC is another relevant topic. Not only the organisation should focus on sustainability but also the services provided by NRC should aim at lasting impact in families and communities. Networking is mentioned as an important activity of the NRC in the last year. The existing network with different stakeholders and the partnership with NM are appreciated achievements. The task of developing a strategical development plan for NRC was given priority among the plans of the organisation for 2018. This strategy will serve as a basis for all actions geared

toward organisational development. These include fundraising, human resource management, improvement of the infrastructure of NRC, starting IGPs for food production and handcrafting, and involving the community in NRC activities (NRC 2018:16).

The financial sustainability of NRC was discussed extensively in the “Minutes of the Board meeting July 2015” (3/2015). The Board was informed that the NRC cannot rely on the funds provided by the NM in future. Therefore, other opportunities for fundraising should be found by NRC. The funds received covered the main expenses of NRC throughout the year. This statement provoked discussion about opportunities for local resource mobilisation. On the one hand Board members hoped for support from the Ugandan government through Mityana District contributing towards the service provision of NRC. On the other hand, recent discussions with district representatives proved that there are few chances to receive adequate financial support. So, fundraising and the identification of an IGP were regarded as the best ways to mobilise local resources for NRC but should not distract the attention of NRC from its mission. The reduction of flexible expenses of NRC was suggested as another strategy to facilitate financial sustainability. The opportunity of increasing the visibility of NRC through advertisement and networking was emphasised in the same meeting.

The NRC documents were further analysed using axial coding as the next step of GT in order to refine the categories and discover relations between the different categories. The paradigm model (Figure 4.3) was the guideline in this process of analysing phenomena from the data and relating them to other categories.

Phenomenon: Lack of ownership

The role of the Ugandan Board regarding the ownership of NRC plays a central role in the documents. The relation of the ownership of NRC to other aspects of responsibility for the performance of NRC was analysed with emphasis on the phenomenon “Lack of ownership” (Table 5.2).

TABLE 5.2: PARADIGM MODEL NRC DOCUMENTS

Paradigm	Characteristics
Phenomenon	<ul style="list-style-type: none"> • Lack of ownership of NRC
Causal conditions	<ul style="list-style-type: none"> • Passive role of the Board • Unclear responsibilities of the Board • Limited capacity for governance
Context and intervening conditions	<ul style="list-style-type: none"> • The Board is not well prepared for its new role after handover • Low national awareness and support for services to children with disabilities
Action strategies	<ul style="list-style-type: none"> • Clarifying and takeover of Board responsibilities • Organising capacity building to enable the Board to lead the running and development of NRC • Increased involvement of the Board in NRC planning
Consequences	<ul style="list-style-type: none"> • The Board leads the strategic planning processes • The Board assumes active ownership of NRC in partnership with other stakeholders

1) Phenomenon: The Ugandan Board's 'lack of ownership' of the NRC is mentioned as a crucial point in the transition process and the handover of administrative responsibility to the Ugandan leadership. The term ownership is vague but it concerns the demand that the Board should shoulder more responsibility and become accountable for its actions.

X. and Y. alerted that the Board has to own the organisation and should be involved more. (NRC documents\5: 51 - 51)

He stressed to members about the need for the Ugandan to own the organisation and plan for its sustainability. (NRC documents\7: 2: 470 - 2: 581)

X. said that relationship between Neukirchener Mission might last forever, but that the ownership is important. Germany wants to see the source of ownership- so WE own it! (NRC documents\3: 47 - 47)

2) Causal conditions: The passive role of the Board is causing 'lack of ownership' of NRC. The Board members merely monitor the activities of the management of NRC but are not actively involved in planning decisions. The capacity of the Board is low because of limited regulation of Board responsibilities.

NRC Management is also appreciative for all the support from the board who has been there to advice and monitor progress of the Centre. (NRC documents\8: 3: 1865 - 3: 2005)

And by the time of the board meeting, everyone with a task must be able to inform others about the actual progress or results, this communication is also supposed to be given to the Secretary of the Board prior to the meeting date. (NRC documents\6: 32 - 32)

3) Context and intervening conditions: The context of the phenomenon of 'lack of ownership' is the handover of administrative responsibility from a German leader to the Ugandan Director which was planned by the NM. The Board was not well prepared for changing its role in this process.

The year 2016 marked a lot of changes in the organization especially the administration and the entire structure of the Center. I must say that we are in a transition stage; we are transiting the NGO from total foreign dependency to a local concern (NRC documents\4: 1: 8279 - 1: 8704)

And at the same time Neukirchener Mission hands over to Uganda- so that they are not any longer mentioned in the Constitution. That means ways for sustaining the Center need to be found. (NRC documents\2: 39 - 39)

The intervening condition is the low national awareness and the limited support for services to a marginalised group in the country. The financial support by the donor is being reduced but plays a crucial role for the sustainability of the NRC.

The National actions on disability, especially as far as children are concerned, is still very limited or barely available and if so, unreliable. Therefore, most of the disability-services are being rendered by non-government actors, especially in rural areas. (NRC documents\8: 5: 627 - 5: 893)

She mentioned, that funds cannot always come from Germany and that we have to find ways from Uganda. (NRC documents\3: 33 - 33)

4) Action strategies: The strategies include the participation of the Board in planning and budgeting meetings of the management of NRC. This should enable the Board to take over full responsibility for the running and the

sustainability of the NRC. Fundraising and raising more awareness and ownership among the stakeholders is highlighted as the task of the Board. Therefore, the Board needs increased capacity to work according to set standards and assume its leading role of governing the organisation.

I must say that we are in a transition stage. [...] It is time to convince our mind to release all God given talents and potential so as to discover available possibilities for this cause to run and keep sustained. (NRC documents\4: 1: 8279 - 1: 8704)

X. showed the need for the board to be fully involved in planning and budgeting. Y. also affirmed its importance. And therefore, there will be need to organize planning and budgeting meetings with the management or leadership. (NRC documents\5: 44 - 44)

X. talked about the responsibility of the Board to fundraise. (NRC documents\3: 35 - 35)

It is also necessary to advocate and market our work better for potential funders to recognize our presence. And to do this, we will embark on a five years Development Strategic Plan in January 2018 to be time driven (periodic actions to development/progress). (NRC documents\8: 7: 785 - 7: 1047)

5) Consequences: In consequences of the above-mentioned strategies the Board assumes the active ownership of the NRC in the sense of heading the strategic planning of all activities at NRC. The active role of the Board in leading the strategic planning of the future of NRC will increase the organisational sustainability and development. The active role of the Board might influence the partnership with NM in a new way.

The board, management and well-wishers of NRC are continuously devising means for the sustainability of services offered and all years planned actions are geared towards organisational development. In addition to core services, the following is planned for 2018: make and launch a five years strategic plan... (NRC documents\8: 17: 1000 - 17: 1626)

Y. suggested that NRC holds a stakeholder's or budgeting conference and invite people, so they get to know what we do and how they can contribute. [...] Having a stakeholder's conference also requires mobilization other people to own the organisation. Who we need to call and plan it also. (NRC documents\5: 52 - 53)

5.2.2 NM documents

The four coded documents written by NM (Table 4.6) are concerned with the partnership of NM with NRC and the preparation of the handover of the administration of NRC to the Ugandan leadership in 2016. As expected, the

documents rotate around the topic of partnership of the NRC with the NM. Figure 5.2 provides an overview about a part of the code system. Most codings were given for recommendations for the cooperation of the organisations.

Code System	9/2010 ...	10/2012 ...	11/2013...	12/2016...	SUM
▶ NRC as NGO	■	■	■		4
▲ organisational sustaini					0
▶ start M&E					0
▶ improve structur					0
▶ to market our w	■				3
▶ aim at lasting im					0
▶ networking	■				4
▲ triggers					0
▶ accountabili		■	■		6
▶ Ugandan ov	■				1
▶ leadership	■			■	4
▶ challenges	■				1
▶ financial sustainabilit		■			3
▲ handover				■	2
▶ enables growth					0
▶ brought insecuri					0
▲ strategy for sus					0
▶ part of NRC	■	■			2
▶ part of NM	■				2
▶ together/ rc	■				3
▶ long-time fr	■				1
▲ partnership with NM					0
▶ achievements		■		■	2
▶ changes					0
▶ challenges		■	■	■	5
▲ recommendation					0
▶ both sides		■	■	■	6
▶ support fror	■	■	■	■	12
▶ for NRC		■		■	7
Σ SUM	21	23	6	18	68

FIGURE 5.2: CODE SYSTEM NM DOCUMENTS

The documents include the terms of the partnership agreement from 2012 and focus on expectations for the partnership. The strategy for sustainability of NRC was only mentioned in the first document (9/2010) which includes recommendations by an external advisor for the process of transition. Apart from this document, the strategy for sustainability is barely mentioned. Only the first document focused on organisational sustainability emphasising visibility and networking of NRC. The financial sustainability is only mentioned in the

“Memorandum of understanding” (10/2012) where the task of searching for alternative funds for NRC was ascribed to the Ugandan Board. According to the memorandum, the NRC is expected to provide accountability towards the NM, write reports and receive German personnel.

Again, the character of the partnership between NRC and NM is explained in the document written for the handover ceremony 2016 (12/2016). Several aspects of the partnership are stated in this document for instance the intention of the NM to continue the partnership with NRC in a way that provides learning opportunities and involves evaluation. The importance of the appropriate capacity of the Ugandan leadership for the process of handover is emphasised. The capacity of the new Administrative Director of NRC was developed through studies beforehand. Additionally, there was a coach sent by a partnering organisation to support the leadership of NRC for a limited time. The support of the NM in developing a stronger network and further financial support is promised in this document. Altogether, the partnership should change from a dependent relationship to a mutual partnership. However, it is not explained how this change should happen except for the above-mentioned steps in addition to reduced financial, but ongoing spiritual, support.

Phenomenon: Changes in the partnership

The changing form of partnership of the NM with NRC is analysed in the following paradigm model (Table 5.3).

1) Phenomenon: The current changes in the relationship of NRC and NM influence the practice of partnership. The NM left the leadership position and handed the administrative responsibility over to the Ugandan leadership. Despite these changes NM does not want to stop partnering with NRC. The NRC must take over the responsibility for fundraising and organisational development.

As one of the partners of Namutamba Rehabilitation Centre we leave the leadership position. But we do not want to stop partnering with this ministry. (NM documents\12/2016: 1: 55|163 - 1: 533|201)

It is our deep persuasion that it is a big step in the development of the Centre that an Ugandan national will take over the leadership! (NM documents\12/2016: 1: 62|404)

As the NRC as an NGO cannot run its work self-sustainingly, the NRC's board will keep looking for alternative sources of funding. (NM documents\10/2012: 2: 3089 - 2: 3220)

TABLE 5.3: PARADIGM MODEL NM DOCUMENTS

Paradigm	Characteristics
Phenomenon	<ul style="list-style-type: none"> • Changing practice of partnership of NRC and NM
Causal conditions	<ul style="list-style-type: none"> • Changes: the partnership was initiated by the NM which hands over the leadership • Long-term plan for handover was discussed since 2010
Context and intervening conditions	<ul style="list-style-type: none"> • Memorandum of understanding of 2012: NM staff was in leadership position, agreement about roles of NRC and NM • Timeframe for handover was discussed but not mutually agreed on (2013)
Action strategies	<ul style="list-style-type: none"> • Handover of administrative responsibility to Ugandan leader (2016) • Coach supports leadership for three years • Constitution to be adjusted for full independence of NRC • New financial support system • Evaluation planned
Consequences	<ul style="list-style-type: none"> • NRC is enabled to continue its mission • Development of NRC to become sustainable

2) Causal conditions: The change in the partnership was initiated by the NM because of financial and human resources constraints. A long-term plan for phase-out of leadership by the NM and taking over leadership by the Ugandan NGO was discussed in 2010. Legal issues for the project were clarified and further qualification for the leadership of NRC planned to prepare for the

handover. Further steps were advised but not yet taken, for instance building a committee to support the Board and becoming part of a broad network in Uganda.

There is a long period for medical projects started by westerners to take over. (About 5-10 years). It's a process which needs to be accompanied by the organisation which started the project. They have to plan for a phase-out. (NM documents\9/2010: 4 - 4)

Steps to go

- look for champions, build taskforce for taking over responsibility
- build network in Uganda
- build international network
- adjust leadership of RC. (NM documents\9/2010: 26 - 30)

3) Context and intervening conditions: The roles of both NGOs are described in the memorandum of understanding (MoU) in 2012. The NM contributes financial resources, personnel and support in network building and fundraising. The NRC provides information about the ministry and supports the NM staff placed at NRC. The NRC is responsible for a regular accountability and increased organisational development of NRC including fundraising. Until the handover of administration, the staff sent by the NM were the key decision makers in the leadership of the NRC.

Today we mutually agree to work together in a deepened partnership. This partnership will become visible by exchange of finances and personnel. (NM documents\10/2012: 2: 210 - 2: 576)

Send medical personnel (nurses, pediatric nurses) in order to back up the Ugandan personnel of the Centre. He/she should be a key decision maker within the organization and take the leadership of the organization. (NM documents\10/2012: 2: 998 - 2: 1212)

Inform NM about the needs of the ministry, chances to help and how funds are used which were sent from NM. (NM documents\10/2012: 2: 2364 - 2: 2470)

In 2013 the timeframe for the handover was discussed but not mutually agreed on.

This proposal is the result of discussions in the advisory group for NRC and will be presented to the Board of Neukirchener Mission and the Ugandan Board of the NRC for discussion and the necessary decisions. Please may you respond if the following proposal will find your approval. (NM documents\11/2013: 1: 48 - 1: 333)

4) Action strategies: The responsibility to control the activities of NRC was handed over to the Ugandan Board in 2016 without specific support for capacity building, for instance, by a special committee. The leader of NRC was changed, the NM staff left, and a coach was sent by "Christian Services International" (CFI) to support the transition process. The constitution of NRC is supposed to be adjusted to allow NRC full independence from NM in 2018. Adjustments in the financial support system have been planned and the need for evaluation is stated.

All decisions for the NRC will be made by the Ugandan Board and the Management Team of the NRC. The German Board does not have to approve. The Ugandan board will be fully responsible for the controlling of the work of the NRC. (NM documents\11/2013: 1: 3086 - 1: 3315)

As discussed with you before, we will communicate with you again after two years about the elimination of our Mission from the constitution of the NRC so that the Centre will gain full independence from Neukirchener Mission. (NM documents\12/2016: 2: 37|507 - 2: 541|555)

We are very happy that CFI has agreed to send a coach for three years to help the leadership of the NRC to step into this new era and keep the Centre sustainable and strong. (NM documents\12/2016: 2: 56|570 - 2: 539|628)

After the 12 months we will transfer all funds we receive as donations specifically dedicated to NRC by friends of the Centre. (NM documents\12/2016: 2: 59|695 - 2: 513|732)

Evaluation of the cooperation of the Ugandan and German Board. Decision about the ongoing relationship. NM as German Board deleted from the constitution of the NRC. (NM documents\11/2013: 1: 3871 - 1: 4036)

5) Consequences: The above-mentioned strategies should enable the NRC to fulfil its mission to provide services to children with disabilities. The NM trusts and expects that the new leadership of NRC keeps up the mission and develops the NRC into a sustainable organisation.

Today we mutually agree to work together in a deepened partnership. [...] to broaden the services of NRC and do a constant quality control so that the Centre will be successful in delivering help to children with disabilities mainly in the five political districts around Namutamba. (NM documents\10/2012: 2: 210 - 2: 576)

The work of the Centre is so valued by us and we believe that even in the future many children will receive help in the Centre which will change their life very much, physically and spiritually. (NM documents\12/2016: 1: 60|270 - 1: 537|325)

NRC will be responsible for further development of the Center, to look for funds and commence projects that will help to supplement support from NM. (NM documents\10/2012: 3: 248 - 3: 396)

5.3 EXPERT INTERVIEWS

Two different types of experts participated in the interviews. One group were the experts in close contact with NRC and some years of experience with the partnership of NRC and NM (interviews 1-6). The other interviews (7-12) were conducted with stakeholders from partnering organisations or institutions with long-time experience of working with NRC but limited knowledge about the details of the partnership of NRC and NM. The interview questions were adjusted accordingly.

The analysis by the number of codings shows that the first group was providing more relevant information than the second group as the code system in Figure 5.3 shows. The figure provides information about the codings for all interviews but only for the categories of handover and partnership.

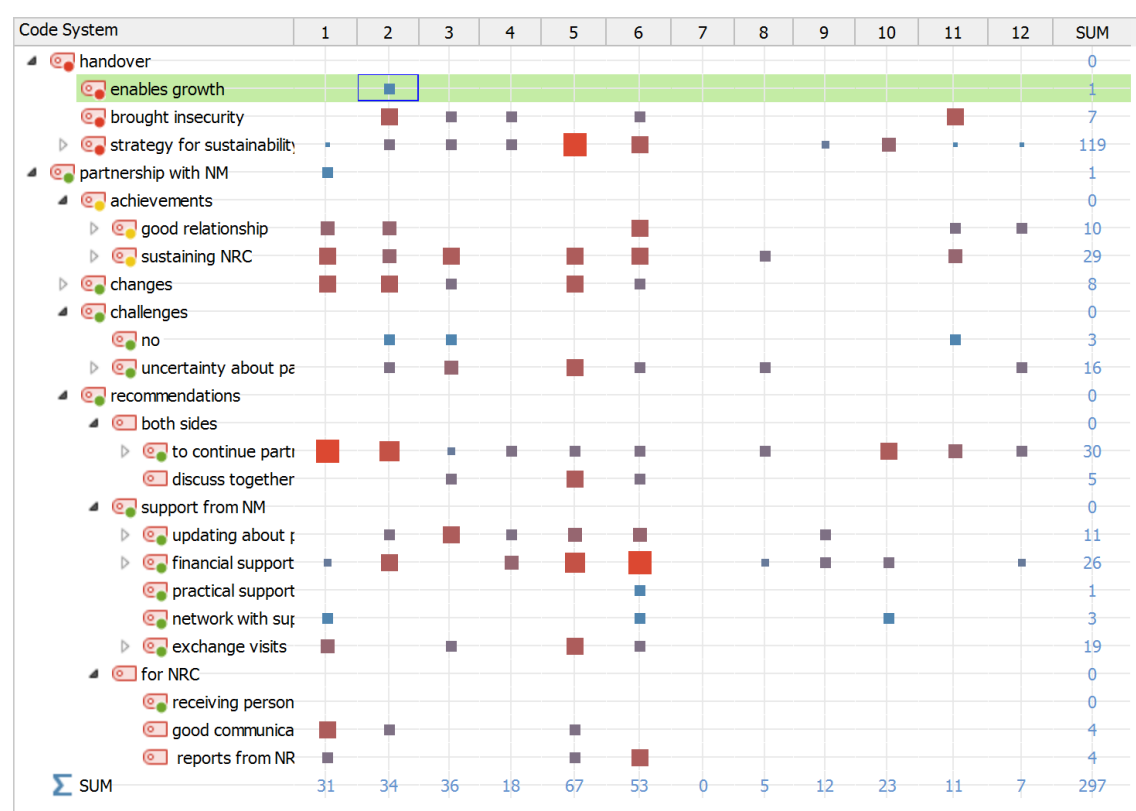


FIGURE 5.3: CODE SYSTEM EXPERT INTERVIEWS

The interviews were analysed using the Code-Matrix-Browser to specify significant aspects of the topics under research. The following Table 5.4 shows the number of codings of frequently mentioned themes.

TABLE 5.4: CODINGS IN EXPERT INTERVIEWS

Code/ subcode	Number of codings
NRC as NGO/ achievements	144
Handover/ strategy for sustainability	119
Partnership with NM/ recommendations	108
Financial sustainability/ resource mobilisation	99
NRC as NGO/ Board	59
Financial sustainability/ IGP needed	58
Organisational sustainability/ networking	44

The significantly high scores for the achievements of the NRC result from the emphasis in the interview guide on achievements and their recognition by the public. In addition, the interview questions focused on recommendations for the partnership and opportunities for local resource mobilisation. Other topics which were often mentioned by the interview partners are: the need for a strategy for sustainability, the role of the Board, the start of IGPs, and networking with other organisations.

Remarkable information from the expert interviews are summarised in the following section. The mission of NRC and its purpose of providing rehabilitation services for children with disabilities was well explained by all interviewees. Also, the achievements of the programs of NRC were recognised especially through the children who benefit from rehabilitation. The empowerment of the children resulting in a new perspective on life was emphasised as an achievement that includes the components of health and education. Similarly, the sustenance of already existing networks and

partnerships with other NGOs was recognised as another achievement of the last years.

The unique role of NRC as a Referral Centre for the region of four Ugandan districts was appreciated because of the specialised services provided to children with disabilities. The recognition of the achievements of NRC by the public seems to be diverse. On one hand the clients and their families, the communities within the catchment area and partnering organisations of NRC are aware of the services and their outcomes. On the other hand, the general public has limited knowledge about the existence of NRC and the services provided. The public authorities concerned, for instance the Ministry of Gender, Labour and Social Development, accredited the NRC as an NGO but did not include it in their financial budget yet a picture of NRC is displayed on the cover page of the “National Policy on Disability in Uganda”.

The leadership role of the Board of NRC is regarded as very important. The Board must set aims for the management of NRC and enable the running of the organisation. The Board must take over its responsibilities as a cook in the kitchen has the responsibility “to prepare the soup”. The characteristics of the Board of NRC can be distinguished in weak and strong aspects regarding the performance of the Board members. Their personal commitment is a positive aspect of the Board activities. It was stated but not validated that the sustainability of NRC was the main concern of the Board for the last years. The group of interviewees in close contact with the management of NRC commented critically on weaknesses of the current Board. Especially the unclear responsibility of the Board, the current composition and the absence of a guiding work plan were criticised. The Board is not well informed about the process of partnering with NM and has very few contacts with representatives of the NM.

The group of experts in close contact with NRC provided most comments about the partnership of NRC with NM. Other stakeholders did not have much insight into the practice of this partnership. The partnership is recognised as a good relationship. The biggest achievement of the partnership is the long-time financial support of NRC which has sustained it for about 20 years when NM as the main donor granted the covering of the running costs of NRC. Few

changes in the partnership were realised. The handover of the leadership to the Ugandan Director was a change that caused uncertainty about the partnership process. The need for an agreement between both partners was stated because of a lack of information about the partnership processes. However, the interviewees mentioned only a few challenges in the partnership with NM.

Several recommendations concern the partnership with NM. The focus of the partnership should be on joint activities with regular evaluations aiming at the organisational development of NRC. The recommendations for the NRC regarding the partnership process are narrowed down to ensure good communication and sufficient report writing to the NM. The recommendations for the NM include the following:

- to inform and update the Ugandan leadership about the partnership process, especially the handover process
- to ensure the previous amount of financial support for a defined period of time to enable the development of more self-reliance by NRC; and, thereafter to gradually reduce the financial support
- to organise exchange visits on regular basis to ensure mutual understanding and sufficient time for meetings and planning
- to support NRC with practical expertise, continuous awareness-raising through public relations and by connecting to other donors.

The marketing of NRC as an NGO service-provider on a national level is mentioned often as a strategy for more sustainability. The aim of this strategy is to raise awareness for the NRC and to visualise achievements and needs of NRC by involving prominent people or champions. This point is regarded as very important for the sustainability of the NRC together with a well organised network and a close working relationship with all stakeholders. The existing network should be increased through contact and cooperation with other NGOs. The characteristics of the leader of NRC have a high priority for the future. A visionary leadership of NRC is regarded as an absolute requirement on the way to greater sustainability. For this reason, the leadership should be monitored and coached by an experienced person to build more capacity.

Challenges to the sustainability of NRC are realised especially by the interviewees with more information about NRC (1-6). Staff needs for appropriate salaries, further training and an adequate number of staff are mentioned in this category. Furthermore, NRC's rural location is 20 km away from the next tarmac road and its dependency on external financial support are regarded as challenges to sustainability. NRC should seriously find and develop more self-reliance options instead of depending on donors only. Interviewees estimate that the opportunities to acquire local resources to sustain the NRC are not sufficient. There are only limited chances to increase the current amount of local support. Nevertheless, raising the level of national awareness of the NRC could open new possibilities to acquire local support.

Three strategies are frequently suggested in the interviews for the increment of local financial support. Firstly, the current low user fees should be increased according to the scheme of payment at the partnering hospital in the capital city. Secondly, better exposure of NRC, for buy-in, could increase individual support in kind and also in the form of donations. Thirdly, fundraising is regarded as a good strategy that would require professional human resource for this sector at NRC.

Financial support by the government would be welcomed but is doubted. Steps are taken to ensure the former support through Primary Health Care (PHC) funds. The opinions are divided whether the requested support would be reliable in future. With this in mind, the need for an IGP as a strategy to ensure more sustainability is highlighted by most interviewees from several perspectives. The identification of a profitable project seems to be challenging. The NRC started some small-scale projects in the past, for instance farming, including cattle rearing, and a wood workshop. These projects did not provide much income because of management challenges. Buying land is now suggested as a prerequisite for any project. New ideas for IGPs are discussed, for instance a business, a vocational school or becoming a training centre for nurses. The management of any IGP is regarded as a challenge in terms of human resource and the appropriate starting capital.

Altogether, the experts regard the financial sustainability as the main challenge of NRC in connection with its dependency on external support. Therefore, the

urgent need for developing a strategy for sustainability and organisational development is recommended by the group of experts with closer contact to the management of NRC. They further request the NM to continue supporting NRC in several ways, for instance with expertise for capacity building. The starting capital for an IGP is mentioned as a challenge for NRC because it is difficult to explain the purpose of a profitable IGP to donors. However, the NM should be asked to support the process of acquiring donations for the start of IGPs, for instance by connecting the NRC to other organisations and potential donors.

Besides these suggested steps for each partner organisation there are joint actions needed to come up with a sustainability strategy for NRC. The plan for sustainability should be discussed and adopted by both partners. Other stakeholders of NRC should also be involved in such planning activities after they have been discussed with the NM. The mutual understanding of the situation by both NGOs is emphasised especially for this process. In addition, the need for a long-term-development plan of, for instance, five years is stated. This should include annual evaluations of NRC and evaluations with the donor after an agreed period of time.

5.3.1 Phenomenon: Dependent partnership

This research explores the influence of the partnership of the NRC with NM on the sustainability of the NRC. In view of this, the phenomenon “dependent partnership” is analysed from the data of the expert interviews 1-6: the group with most information about the partnership (Table 5.5).

1) Phenomenon: The NRC is relying on donations through the NM to finance the running costs and all activities of the organisation. The resource dependency influences the partnership between the NGOs significantly. As a result, the NRC is a highly vulnerable and sensitive NGO because of its inability to cope with external changes.

And we have continued to get support from NM to support the activities that take place at the Centre. (1: 6 - 6)

Okay, the challenges we are facing is that the funds are getting lower and there is no other donor to step in or not a group of donors stepping in. (6: 63 - 63)

You don't need to depend on the outside people [mhm] because there are lot of challenges. Supposed they are not able to meet their goal or target. And what will happen to the NRC if it is depending on the outsider? It becomes very difficult. (2: 43 - 43)

There is also a dependency syndrome, of course. BUT with Namutamba I think, we need to walk with them until they are able to stabilise and have an income that we can SEE that is able to continue the work. (4: 45 - 45)

TABLE 5.5: PARADIGM MODEL EXPERT INTERVIEWS 1-6

Paradigm	Characteristics
	<ul style="list-style-type: none"> • Dependent partnership of NRC with NM
Cause	<ul style="list-style-type: none"> • Dependency on external financial support • Insecurity about partnership
Context and intervening conditions	<ul style="list-style-type: none"> • Low-income country and limited local resources • Transition with changes in partnership
Action strategies	<ol style="list-style-type: none"> 1. Improvement of the practice of partnership 2. Strategy for sustainability of NRC including: <ul style="list-style-type: none"> • Development of an action plan • Capacity building of the Ugandan Board • Empowerment of NRC
Consequences	<ul style="list-style-type: none"> • NRC is enabled to fulfil its vision as a partner of NM

2) Cause: The NRC is not financially self-reliant because the clients are not able to pay fully for the provided services. In addition, there are only limited local resources available. Consequently, NRC depends on external financial support.

I think the main challenge is we are working with clients from very low-income areas. And we see that these clients are, are struggling just to, to pay part of the treatment. So, that's one challenge. And we are working also with a group of patients who are neglected or where, where other reasons are seen as a main reason for, for disability. So, parents are also slow in willing to contribute financially. (6: 32 - 32)

But because there are very few people who are aware of what is happening there, raising local resources becomes very critical. (2: 26 - 26)

Self-reliant indeed, mh, mh, mh. That may be an uphill task. Because since they have structures on the ground, since they have, you know, things to, that depreciate and yet needs to be sustained continuously. It is a big challenge. (4: 29 - 29)

Another challenge is the insecurity about the concept of the partnership caused by insufficient communication. The outlook on reduced donations and the handover of the administration to a new leadership reveal the need to search for alternative funds for more stability. The idea of transition and more self-reliance of NRC is welcomed but the weak sustainability of the NRC and the insecurity about the partnering process threatens these efforts.

I must say that I was not so sure of how the partnership really works and how this cooperation works. I mean, what I knew is that they are supporting us. [aha] But also, what I knew is that they are supporting us in the area of health. [mhm] Maybe meeting the cost of living and staff costs. (5: 67 - 67)

Because if our partner says, "We have been with you for this long, we think that we can leave you, so that you can stand" which is a good idea. But the issue is, "Will we be able to stand?" (2: 44 - 44)

Yes, for example if the Mission says, "We will end maybe our donation at this time" [mhm] without a proper plan or action plan or something like that. [...] It is like not to be so sure. (5: 110 - 110)

So, we say we need transition. [...] It must be there if we have to develop, if we have to grow. Because this kind of life, like this you are not doing something, they are doing for you. You will not expand in your mind. (2: 45 - 45)

3) Context and intervening conditions: The NRC is situated in a rural area as a Referral Centre for a greater region. The socio-economic conditions in Uganda must be considered for the partnership as this context influences the NRC. The dependency on external financial support is promoted by limited support of the government, limited local resources which cannot support the NRC completely and the economic situation of a low-income country.

Ah, now we have about five districts, ah, who have these people and they themselves can do nothing about them. But when they bring them to the Centre they get the services that are needed to transfer them. (1: 16 - 16)

Ah, the government, for example has, I would say, failed to sustain its own Rehabilitation Centres. Because the government has some Rehabilitation Centres [mhm] which, I would say, are in a very poor shape. (3: 48 - 48)

Mhm, I think mainly the, the, one of the main points is just to get an understanding for the situation on the ground, to see the reality as we call it. Ahm, there are many programs in place. But we find that by, by experiences, by the cases we see these programs don't often reach the children. (6: 24 - 24)

The process of handover is regarded as a challenge because there was not enough time to prepare and understand the steps and the timeframe of this process.

Mhm, I think as we mentioned, or we talked about earlier, it is a challenge to, to really understand the role of handing-over, to see where we are up to now from fathering to bothering (laughing). [mhm] Just to get the exact ideas of the process and the state. (6: 51 - 51)

I am not quite sure. It looks like-, or to me I just get the impression that the NRC is at a good state and is free to go on its own. My personal impression is different because I see the Centre still needs to be nourished, it still needs to be worked on for it to be ready to go by itself. So, ya, definitely we would still, would need some [mhm] support. (6: 73 - 73)

So, we say we need transition. We need at least some time to prepare us for a better transition. [mhm] It shouldn't be this shocked. (2: 45 - 45)

4) Action strategies:

1. Improving the practice of partnership and reducing the insecurity regarding the partnership include the following steps:

- Creating mutual understanding of the situation of the partner

Mhm, so maybe it is not just that easy to assess the situation immediately or to get a good picture of it just by regarding the facts. Ahm, just in general it takes some time to really get the full understanding of this. (6: 92 - 92)

But also, if we communicate a strategic-, a strategy would be important, maybe like to understand it, to ask as many questions as possible, [mhm] to make sure they have understood, we are on the same page. (5: 84 - 84)

But I think mainly the NM needs to be aware of our situation. Without awareness there is no understanding. (6: 67 - 67)

- Commitment to the partnership and planning with regular evaluations of the partnership

Okay, I think it would be nice for us somehow to be more in a focus of NM. (6: 90 - 90)

I think, let the NM look at NRC as one of their big projects. Not always, but maybe to start to say, "This is one of the big projects we have, which we want to invest to work, then slowly we will phase-out." But to see it important so that we plan there. [...] And also looking at that with the view that, they will be soon-, they want to create reliance, self-reliance. (5: 136 - 138)

Mhm, okay definitely it would be good to, to see first about the understandings of both sides [...]. And then it would be something to definitely to do in a cooperation for both sides to have input and to have to generate this plan and see. (6: 57 - 57)

To have a very good communication of all the processes, otherwise. (5: 124 - 124)

I think if we could, we could really have a yearly evaluation at least a minimum (of?) an evaluation every year. Probably having a special visitor from NM to see how things are going. (3: 73 - 73)

- Renewal of the partnership agreement

Partnership agreement as a point of reference. (...) I think it all rotates around it. And we don't know the agreement for sure, which is which. (5: 112 - 112)

First, I would ask them not to rush things, to have a very good plan at the beginning. Because, I mean we need first the agreement, I think. We would first work on the agreement. [mhm] Make a good plan. Because like I said it would be good to start with a project, to plan together. (5: 118 - 118)

- Further external financial support through NM requested

Not only local support. That the donors, while they are wanting to be phased-out, that there is an investment they are doing that will increase the sustainability process. Something they leave on ground which will generate income. (4: 47 - 47)

Well, we would appreciate for NM to continue, while we also try to see how we strengthen ah, the contributions from the local communities. (1: 24 - 24)

So, this would be a request on my side just to give us a bit more of a time slot to also work on our funding. I think it could be, could be a good idea to, to gradually reduce those funds as we build up our own funds. (6: 63 - 63)

But I don't feel personally they can really be on their feet. They need someone who can hold their hand three to five years maybe. Maybe then they would be able to say, "We can get on our feet and walk." (4: 78 - 78)

2. Strategy for sustainability

The need for a strategy aimed at stabilising the services and activities of NRC for the future, is highlighted. The following activities must be included in the strategy.

- Development of an action plan

The Board must develop an action plan for the sustainability of the NRC. They should seek professional advice for this process.

So, I think my suggestion would be to have a real plan, to say, "Okay, in this period we do this and this, in this period we do this and this." [...] And then we can reach a point and say, "Okay, we, up to, from now up to this time the Centre should be able to sustain itself." (3: 38 - 38)

I think the Board can be involved in coming up with a strategy. [mhm] But maybe at the same time to involving some external expertise [mhm] about this. (3: 40 - 40)

Mhm, I would really think at the level they are at, they need someone very professional in trying to restructure [mhm] the organisation and also help with strategies for sustainability. (4: 76 - 76)

This development plan will sell us also to the ministry, to other partners. [...] And of course, they will be able to read the outcomes of what we are doing. So, many will be attracted to stand with us and support financially. (2: 32 - 32)

- Capacity building of Ugandan Board

The Board must be active, accountable and, in capacity and composition, appropriate to the given responsibility

It is, should be a long-term process. It must be (laughing) urgent. Must be done urgent. [...] So, at the end of the day there is someone who is accountable for what has been done and what has not been done. Then we will be able to assess the development and how fast we can move. [...] Because as a Board we need to do a lot. (2: 34 - 35)

So, this period I want a transition to begin with a clear job description of the Board. With a clear work plan, strategic work plan. Five years, ten years to put in place. [...] At least we would also be able to stand with other organisations. I BELIEVE, just put in things with the right-minded people in the steering, including the staff. (2: 47 - 47)

- Empowerment of NRC as NGO

The empowerment could be facilitated by increased awareness, ownership and local resource mobilisation.

Namutamba needs to, needs to be exposed to other partners, government partners, local NGOs for partnerships and whatever. (2: 21 - 21)

But that is where we want to increase awareness in connection with ownership. [...] We are now sensitising those leaders, district, ah, some of them at the district level [...]. So that they can also commit themselves as they make their budgets for the next year to include a component of how they will support the Centre. (1: 20 – 20)

But sustainability first of all in terms of OWNING the home, we are trying to sensitise the key people who are benefitted from that Centre to come together and OWN this Centre more and more. And also try to see how we can RAISE funds ah, in a more responsible way. In other words, bring the best we can, knowing that the Centre is ours. It is in our community. It is ministering to people who have needs from those communities. (1: 14 - 14)

So, personally I would think that the districts which are being served, need to invest money. They should be obligated to invest money to this project, because they are getting services. (4: 26 - 26)

Then we will know how much can come in from ah, local contributions. And ah, it COULD supplement with what we get from NM. So, in partnership we try to see how we address that challenge of sustainability. (1: 22 - 22)

Open day is the only, what I see is there, resource of raising local resources. And Open day is done once in a while and not in a big way. [...] Like, we can do it in a place whereby people can easily access, people can easily come to. (2: 27 - 27)

Ya so, I mean it would be a struggle to, to get more resources from, locally. But I think there is a big, there is a big possibility to, to increase local contribution. [...] But also, by, by slowly increasing the clients' contribution towards the services they get. (3: 32 - 32)

It has IGP that can give it more money. So, that this money is, is used to support children who cannot pay [mhm] for themselves. (3: 36 - 36)

5) Consequences: As consequence of the above actions there would be more security about the partnership and opportunities to discuss and evaluate the ways of partnering and working together. The partnership agreement is meant to highlight the aims and activities planned for the future. A clear understanding of the partnership practice and of the support by the NM would help the NRC to plan activities for capacity building and sustainability. In the end the NRC should be enabled to fulfil its vision as a partner of the NM.

Ya, I would think in the, maybe in the next five years, if we really take serious steps, we would be able to take the NRC at a level where it can be much more self-sustaining (3: 54 - 55)

So, personally, I want the organisation supporting NRC to find a way of, you know, sustaining it until it is able to walk. Get more friends, get more food, get more things to boost them. So, that by the time they say, "Walk!" the people who are on the ground are also be able to smile and say, "Now we can walk alone." (4: 86 - 86)

There are many children we are not able to treat because we are not big enough. Just keeps reminding me there we have on a high number of patients and there could be done more. It makes definitely sense to sustain the Centre as long as possible. [mhm] Just keep it run. (6: 94 - 94)

And then, through our partnership the ministry has increased and has been strengthened. And it is in this direction that we want to continue working together to sustain these services. (1: 50 - 50)

5.3.2 Phenomenon: Limited local financial support

The phenomenon “limited local financial support” is mentioned very often in the interviews 7-12 and described in the following section with its relation to other categories (Table 5.6).

TABLE 5.6: PARADIGM MODEL EXPERT INTERVIEWS 7-12

Paradigm	Characteristics
Phenomenon	<ul style="list-style-type: none"> Limited local financial support by government and civil society
Cause	<ul style="list-style-type: none"> Limited recognition of NRC by the public Cultural limited charity
Context	<ul style="list-style-type: none"> Socio-economic situation of the rural population Resource dependency on the main donor
Strategies	<ol style="list-style-type: none"> Empowerment of the Board (capacity building) Implement local resource mobilisation strategy (Increasing visibility of NRC, fundraising, IGP, diversification) Networking and partnering (stakeholders, government support, continue partnership with NM)
Consequences	<ul style="list-style-type: none"> Sustainability and development of NRC Continuation of service provision

1) Phenomenon: The local financial support of NRC by government and civil society is very limited. The lack of finances influences the running of the

programs of NRC and is realised as a central challenge to the sustainability of NRC.

And maybe the challenge that the facility is maybe having that can limit it to reach out its services or to achieve its mission is ah, the limited funding. Because it is no longer getting PHC funds from the government. (8: 21 - 21)

But the only problem is, is facilitation, money to run this Centre, money to reach out to children. (12: 2 - 2)

Okay, district level I think to some extent they can realise it. That means to some extent. I think together by support, giving support, a minimal support which I think can hardly do much [mhm] yes, compared to that load which is there, yes, which is needed for NRC to sustain, [mhm] yes, to keep going. [...] I don't know whether they are still offering any support to the NRC. (11: 20 - 20)

But I say, because locally I can't see the resources coming from the community to sustain this project. (9: 11 - 11)

Any local support? What I think they could do or what they are doing? What they are doing, I hardly see it. What are we going to do? I hardly see it. (11: 24 - 24)

But the local contribution may not be enough to run all the activities of NRC. (12: 8 - 8)

2) Cause: The services of NRC are appreciated but are only well known in the proximity of Namutamba and the surrounding districts (in a distance of about 100 km radius). The support by the civic society for services of NRC is minimal because of the following background. Persons with disabilities (PWDs) and their families might face social exclusion because of mistaken assumptions and a widespread negative attitude towards disability. As a result, services for PWDs are appreciated but rarely supported.

Yes, they are recognised by the public. [...] They are recognised at the family level. The families recognise. Which families are getting support from them? The families with disabled children. The community is recognising their services. When we also look at, mention the community we are looking also at the church, local churches within. When we also look at the services are recognised by institutions at institutional level. The diocese is recognising the services. (8: 23 - 23)

And I, I, I think they are very much appreciated [mhm] where they are doing the work. [...] I might not say much about if what they are doing is also felt in Kampala, or Western region, or Northern region. But I am very much, I am sure there in their constituency where they are working [mhm] they are appreciated. (7: 10 - 10)

So, the public appreciates that. Especially, locations around Mityana, a bit of Mubende and even Kampala some of them. (10: 8 - 8)

Of course, we still have a challenge in our own country, especially the attitude towards giving. Very few people-, many people are getting richer, but very few people also give [mhm] to charity. That is a fact. (7: 20 - 20)

3) Context and intervening conditions: Support by means of local resources is challenged by the economic situation of the rural population and the inability of most clients to pay fully for the received services. In spite of declaring the NRC to be a regional Referral Centre, the government is not able to support it as a specialised health facility for a marginalised group.

Yes, because, why I say that they have to keep supporting, it is a development country. It is a developing country whereby even if like we make our cry over to the government, they can hardly support. [mhm] They can hardly support such organisations. (11: 36 - 36)

But the challenge in here is, that some of the disabled children are marginalised by their communities. So, it is like giving them free services because the money they are charging is very little. (8: 37 - 37)

But, before that, there are areas they don't have this health care services. And of course, where there are no health care services for ordinary people, it makes it very difficult to find health care, it makes it very difficult to find services for people with disabilities. (7: 6 - 6)

But another area is user fees. [mhm] I don't know whether you get about 1% of your total income or 2 %. But user fees-. But unfortunately, the clients are the, some are the poorest of the poor. So, you may get 1% or 2 % of your total budget. (9: 69 - 69)

It is little, but the commitment and a gesture of good will so that they appreciate the services and the community supporting it, but the local contribution may not enough to run all the activities of NRC. (12: 8 - 8)

And also, we are proud that this Centre ah, is at least one of the few Centres we have in Uganda which have such services. We have about four, about four Centres across the country with such unique services. So, we are proud that we have this Centre within the diocese. (8: 39 - 39)

The resource dependency on the donor causes high sensitivity for the NRC because external changes could cause disruption of NGO activities. The insecurity about the transition plan was caused by limited information about the time frame of this process and the planned donor support.

The NM as the main donor wants to reduce its support. The NRC is relying on the support from NM and would be not be able to run without the external support. So, the need for more sustainability and self-reliance is seen. (8: 35 - 35)

Yes. I very much support that because if the donor says, "I am withdrawing today." That means NRC is going to close. And that has a very negative effect on the children who are seeking the service. [mhm] And also the long-term staff that have been supporting the Centre, income-wise, their career-wise and they also drop out. So, I feel it is better to begin looking at self-sustainability. (10: 15 - 15)

Because money is the blood of any organisation. If it is lacking severely what about the future? (9: 67 - 67)

But formerly when we were called that they want to hand over to the local people. Up to know I don't know what is exactly taking place. [...] So, at the moment I don't know the partnership. (11: 30 - 30)

4) Action strategies: The action strategies include the following steps:

1. Empowerment of the Board: The Board plays an important role in the running of the NRC. It should be involved in NRC activities, such as setting goals, fundraising, monitoring and evaluation. The Board itself should be empowered and must be accountable and regularly evaluated. Adequate composition of the Board is a prerequisite for a well-functioning Board with sufficient capacity.

And this is perhaps the leadership issue that starts with not only the Director or the staff, but also from the Board. [Mhm] The Board should really be able to champion some of this causes, should be able to think through to give the Director a task, because he is the one in the kitchen. So, he should be able to prepare a good soup. (laughing) So, leadership is still very important. (7: 44 - 44)

And also urge the Board in Namutamba, the management Board to look out for other possible resources already within here, say fundraising, donation, approaching private companies and individuals. (12: 27 - 27)

The Board needs to be strengthened. (9: 62 - 62)

In terms of resourceful people. Because if I am member of the community here and they call a Board meeting, I will come. But all the information I have is around Namutamba. [...] You first need to look for resourceful people [...]. What type of say, Chairman would you need? Someone who is exposed. And it could be someone in active employment somewhere. (9: 64 - 65)

And also, its high time they bring the Board on board, the NRC Board. [...] Because some Board members are connected to potential sources of support. If they can also venture into supporting the Centre I am sure they can try to minimise on the deficiency of the funding gap. (10: 19 - 19)

So, people are evaluated, because they are also delegated by the trustees. [...] So, they really need to do their job. (7: 48 - 48)

2. Implementing local resource mobilisation: A combination of advertisement, local projects and fundraising could increase the financial sustainability of NRC.

- Improving the visibility of NRC is suggested as a first step to expand the opportunities to raise local funds.

So, you really need to come out and people should know you. [...] So, people would be encouraged to support you, if you are visible. If you hide yourself, [mhm] even if you are good, no one knows. (7: 25 - 25)

So, you cannot raise money especially institutional funding, if you are still a best kept secret. (laughing) [mhm] So, I need to come out and everybody knows. And they know where there is network. (7: 35 - 35)

Maybe I would suggest, maybe local fundraising, then should look for people who can donate kindly to the NRC. But this one would need stewardship, stewards from NRC to set up goals and then reach out to people with good will, good hearts who can do generously donations. That would be another source of living, [mhm] contributions, donations, fundraising. [...] And maybe another strategy would be to publicise, to publicise NRC. So, that people know across the nation, across the globe where NRC is. (12: 14 - 14)

- Starting fundraising activities and the employment of a professional public relation (PR) officer or fundraiser at NRC is recommended.

But if we have local resources, like if we have ah, prominent people within the area who can support the facility. Some are businessmen, they can at least buy these crutches. (8: 30 - 30)

But ah, if you develop the skill of for example, tapping to the social responsibility of companies [mhm] to give to you-. I find that, like where I work here in Katalemwa, we have lots of companies [mhm] that also offset some of our costs. [...] They can also capitalise on individuals, people, to support [mhm] in terms of food, in terms of, in kind. It is not all the money, but in kind support. (7: 20 - 20)

Then NRC should also venture into fundraising drives. The team in Namutamba should get skills of how to fundraise, how to mobilise resources, [mhm] not depending only on the owner. (10: 13 - 13)

Ah, then the other thing is, NRC itself should perhaps find a staff, someone with the knowledge of resource mobilisation, [mhm] someone who can write. Because there is also lots of funding [mhm] from institutions in Africa, in Uganda, in Europe. So, this money doesn't just come. (7: 15 - 15)

So, I think you need that kind of person from that end. If you don't have him, it is not easy. Unless you are so powerful and so skilled. It could call upon hiring a highly skilled person locally. That could, not as a director but someone like a fundraiser. (9: 58 - 58)

And I would feel, I don't know whether NRC has got someone in charge of fundraising or someone in charge of mobilising resources. I think its high time that you think about that, so that that person is groomed and is given support, [mhm] so, that is able to market NRC. (10: 23 - 23)

- An income generating project should be started to provide some finances for the NRC besides the cost sharing with the clients. External donations would be welcomed to start an IGP. The identification and management of an IGP needs special attention to be in line with the vision of NRC. The employment of a project officer in charge of the IGP is advisable. Ideas for an IGP are, for instance, becoming a learning centre, renting a commercial building, starting a school, a vocational school and a farming project.

So, there is also the need for NRC: 1) to commute these ordinary resources. [mhm] This could be through services, like charging services or cost sharing with their target group. 2) Also having your own IGP like piggery or having a farm and sell milk and get money [mhm] or perhaps, sometimes some people take it very (?) have a school where people contribute, and money comes to the school. (7: 14 - 14)

Like what other organisations have done, if they got a project they put someone in charge of that project. That project is still under NRC. [mhm] It could be like a project officer or project assistant in charge of that particular project. (10: 27 - 27)

But I think I have given you the two scenarios. The big one, plot of land somewhere, have a commercial building. That is a mega-project and to manage it up to competition needs local competency here which we might not have. The other one is to think of income generating activities but in line with what-, which are not diverting from the actual co-program [yes] which can complement what you are already doing. (9: 81 - 82)

When I visited NRC, I went there thrice, one area I see NRC would potentially tap into is vocational training. [mhm] Not serving only serving disabled children but the entire community around. That alone would help NRC to tap enough funding and also give a skill to the non-disabled persons. (10: 50 - 50)

Then if there are training institutions, I saw there are some nursing schools in Namutah, Mityana. Then I would use NRC as learning centre. [mhm] These nurses who are in training schools get a week or two days of experience in NRC on how to manage disability in NRC. (10: 53 - 53)

We can also have people who can say, "For me I have land where you can have eucalyptus tree. You can plant at least an acre of eucalyptus trees." And after cutting that eucalyptus tree, well looked after, the facility can get money, to continue working. (8: 33 - 33)

But again, when you are looking for a project it should be a project that somehow relates to you program, not totally different. (9: 42 - 42)

So, an additional support, say from the German foundation and other VIPs and who can come in with assistance can be of great help to add on what is been collected by the NRC as a local collection of the clients who use the facility. (12: 8 - 8)

- The diversification of services of NRC is recommended such as handling disability as a development issue cross-cutting several areas of life. The lasting impact of the services should enable households to handle their situation better and to improve their livelihood. Additionally, diversification could support the sustainability of NRC.

But If you can empower a household to take charge of all those processes and the needs of this child, that will be the first step of sustaining Namutamba. (7: 13 - 13)

But I would really advise diversification of their programs. (7: 8 - 8)

So, they should also begin diversification, looking at which other opportunities. It's a Rehab Centre, yes, but you should also look at other ventures, small scale [mhm] that can yield into supporting the Centre to be self-sustainable. (10: 25 - 25)

3. Networking and partnering: Increased networking with concerned organisations should lead to closer cooperation. As a result, stakeholders of NRC should be more involved in the planning activities of NRC, for instance beneficiaries should be aware of the resource dependency of NRC. In view of this, awareness-raising and networking could increase the opportunities to mobilise local resources as a parallel strategy to the continuing partnership with the NM.

We can also be part of that engagement as the district. We make a MoU to say, "We do A, B, C, D." [...] That networking and working with other organisations that is very good. (12: 22 - 23)

So, when they organise a round table with that partner, NRC in this case, the beneficiaries are patient or parent. And the donor tells them, "For us we support 50%. The other 50% should come from elsewhere." They struggle to begin fixing the puzzle. The parent starts saying, "I think we should contribute something to NRC. I thought it was free." [...] This parent also tells another parent. [...] It needs to be a round table, to have clear roles for each other, beneficiaries and implementers. (10: 32 - 32)

NRC should also start venturing into partnerships with other organisations, both at local and national levels. That will help NRC tap into existing opportunities like funding, technical support, equipment. I feel they should do because they cannot work alone. (10: 11 - 11)

Okay, the way NRC can start tapping into getting local support, there are quite so many ways. One of them is having MoU's with the districts where it is working. (10: 10 - 10)

- With the help of stakeholders in Mityana District the NRC requests Ministry of Health for Primary Health Care (PHC) funds. Another request concerns the placement of staff at NRC that would be paid by the government.

So, we are working hard with the UPMB (Uganda Protestant Medical Bureau) and the district to ensure that this facility, this Centre receives funds to support it. [...] And I know, we can say if all goes well, next financial year, [mhm] I am sure they can start getting, because now we are pressurising the government to at least allocate funds to such facilities that are giving unique services. (8: 25 - 27)

And we are also working to see that the money which used to come to NRC comes back again. We are still struggling and see. (12: 27 - 27)

And also, maybe another thing we need to do is to start lobbying for technical support from the government. The government keeps seconding health workers who can at least give services to these children. Because if, if the workers are paid by the government then the services can easily be done. (8: 57 - 57)

Maybe also now involving as I think and more, more awareness is made at a national level also. [mhm] Yes, maybe the government-, but I think they are aware that such organisations exist. But I think they need to put more efforts in this, offering more support also. (11: 54 - 54)

- The existing partnership with NM should be evaluated and the situation of the NRC analysed. The NRC needs time and opportunity to build more capacity and develop its capability during the transition process. The strategical plan of NRC should be prepared by NRC and then discussed with the NM. This long-term plan must include a concept for further financial support by the partner. The NM is requested to invest in a sustainability project before it phases-out.

Usually what, what other people do, organisations, they always have like annual meetings, end of year meetings. They call them performance meetings. [...] Actually, they do what we call a SWOT-analysis. [...] Then that can guide the next year planning. [...] You know your clear core strengths, weaknesses and then opportunities. (10: 34 - 34)

Because we at the local level, if we propose alternatives for sustainability, I am sure the donor is open to this. [...]. But locally if we come up with something we feel it can work and we propose it to him and if he buys it, it can be good. (9: 79 - 79)

Ya, they need working together because I am sure NRC will be young in this new area of trying to tap into existing opportunities themselves. Then the donor is more experienced. So, they need to keep watching them, give them support. (10: 23 - 23)

So, I could request the German foundation to sustain or to maintain that collaboration with our Centre and kindly to solicit, to lobby for other, other agencies who can come to their rescue [...]. (12: 12 - 12)

And I think the donor should support NRC to grow skills in fundraising, mobilising resources, building capacity in that area. I think the best if they can do a needs assessment, [mhm] some kind of a study about NRC, the future of NRC. That helps the donor to know where the gaps are. (10: 17 - 19)

5) Consequences: The combination of the above suggested strategies should allow the NRC to increase its resource basis and to provide continuous services. The enlarged visibility of NRC to other stakeholders and interested people should attract more financial support. The transition phase and a change in partnership with the NM should facilitate the organisational development of NRC. Sustaining NRC as one of the few places in Uganda that provides unique services to PWD will result in greater positive impact on marginalised people.

Exactly, I think local resources can do a lot of support. Especially, offsetting the-, how do you call it? The daily needs we have, like medication, like especially food, ah, transport cost. Those small, small things. (7: 23 - 23)

I mean that if we have combined efforts to collect or to identify the local resources within the community then we can-, to support the Centre, then it can move. (8: 29 - 29)

So, it is always good for you also to think ahead. How can I manage myself? And this Centre can now start looking at that component. [...] So, if we have a Centre that can self-run, self-sustaining, then it can move ahead. (8: 35 - 35)

But any donor should not support 100%. They should give some growth, for these people to grow. [mhm] Because they will not support them the entire life. They to give them, tell them, "We will support you for three years or five years but begin learning NOW." (10: 29 - 29)

So, I believe that can help NRC to raise a bit on funds [mhm] and also being sustainable than entirely depending on international donors only. (10: 13 - 13)

Ya, what I would urge all of us the Ugandan, the NRC Board and team, and the German founders and foundation for-, I would urge them let us continue working together. Work together for the cause of these children who are really in need of our services and our help. (12: 27 - 27)

5.4 FOCUS GROUP INTERVIEWS

The focus group discussions took place with two different groups. Focus group 1 (FG1) represented community members and clients of NRC. The second focus group (FG2) consisted of staff members of NRC. The Code-Matrix-Browser (Table 5.7) was used to identify the characteristics of the data. Both groups were compared according to the codings. Due to a different kind of translation used in the FGs, explained under 4.4.3, more codings were given in FG1. So, not the number of codings but the relation between the mentioned topics in the focus groups was considered for the analysis.

TABLE 5.7: CODE MATRIX BROWSER FOCUS GROUPS

	NRC as NGO	Organisational sustainability	Financial sustainability	Handover	Partnership with NM	SUM
FG1	37	16	49	4	4	110
FG2	23	26	29	1	14	93
SUM	60	42	78	5	18	203

The financial sustainability was the most discussed topic in both groups while the handover of leadership was not given much attention. In FG2 the partnership with NM was mentioned more often than in FG1. This suggests that the staff members were more aware of the impact of the support of the NM than the community members.

The FG discussion was opened with questions about the history of the NRC and the partnership with NM. The group members emphasised important events for the development of NRC beginning from the start of the ministry. Their comments about several events were noted. Consequently, a timeline from the 1990s to 2017 was developed (Figure 5.4). The timelines of the two groups highlight various changes at NRC and in the partnership (Appendix F).



FIGURE 5.4: TIMELINE NRC

The start of the ministry of the NRC and its history received special attention in both groups. Some participants of both FGs were involved in start of the NRC. They remembered historical events very well and shared their memories. Other

participants contributed information about the recent past. The achievements of NRC for children, parents, the area and the network of NRC were emphasised through the appreciative inquiry which was explained under 4.4.3.

Code System	Focus group 1 ...	Focus group 2...	SUM
▲ NRC as NGO			0
○ context			0
▲ history	2		2
○ start of the ministry	10	8	18
○ changes	7	5	12
○ former IGPs		2	2
▷ mission of NRC			0
▷ achievements of NRC	13	8	21
▷ Board of NRC	5		5
▲ organisational sustainability			0
○ start M&E			0
○ improve structure	2	7	9
▷ to market our work			0
▷ aim at lasting impact	13	1	14
▷ networking	1	3	4
▷ triggers			0
▷ challenges		15	15
▲ financial sustainability			0
▷ self-reliance	1		1
▷ resource mobilization-what?	19	10	29
▷ support by government	6		6
▷ IGP needed	15	11	26
▷ f.s. is a challenge	8	8	16
▷ handover	4	1	5
▲ partnership with NM			0
▷ achievements	3	9	12
▷ changes		2	2
▷ challenges		1	1
▷ recommendations	1	2	3
Σ SUM	110	93	203

FIGURE 5.5: CODE SYSTEM FOCUS GROUPS

The Code system in Figure 5.5 gives an overview about the most discussed topics using numbers of codings for detailed comparison of both groups. The characteristics of each group discussion are highlighted in the following section.

5.4.1 Focus group 1

One former and one recent Board member participated in FG 1. As a result, they reflected their experience and demanded the Board and the Patron of NRC to take over more responsibility. According to the constitution of the NRC the

Bishop of Mityana Diocese acts as Patron of NRC who takes the responsibility to advise, monitor and connect the NRC to donors (NRC 2011).

FG1 emphasised the requirement of lasting impact of all interventions at NRC and the inclusion of education and skills training within the NRC programs. One of the participants, a teacher, stressed the point of arranging the best opportunities for educating children admitted at NRC. The parents should pay for the education of the children at the community school when they spend longer periods at NRC.

The increment of user fees was discussed as one way to support the NRC financially. The fees at NRC were compared to similar institutions in Kampala which charge much higher fees. The view of participants was that parents are surprised that NRC charges low fees for medical treatment but pays high Kampala hospital bills for NRC-clients. This issue was realised as a challenge to the sustainability of the NRC. In fact, the start of an IGP like farming, including cattle rearing, or restarting the workshop is given high priority in the minds of the community members who earn their living from similar activities. In spite of this, the management of an IGP was realised as a challenge for the current management of NRC.

The dependency of NRC on financial support from the NM raised questions about the future. Will the NM step in for the NRC should financial sustainability not be possible?

5.4.2 Focus group 2

The discussion of FG2 consisting of staff members of NRC revolved around structural changes of the buildings of NRC and the working and living conditions at NRC. The current salaries, a deficient number of staff and the state of staff rooms cause discontent among the staff.

The group realised the need for local financial support and appreciated the individuals who support the work of NRC in several ways. The impact of staff on financial sustainability could be to reduce expenses of NRC, for instance by ensuring regular maintenance of the motorcycle to reduce payments for repairs. Similar ways for local resource mobilisation and starting of IGPs were suggested by FG1 and FG2. Former projects of NRC, for instance farming and

restarting the wood workshop, would be preferred instead of starting completely new projects; but, again, also FG2 regarded financial sustainability a challenge without a clear way forward.

Contrary to FG1, FG2 highly appreciated the impact of the NM in sustaining the NRC up to now. The support of other network partners, volunteers and individuals organised through the NM was appreciated as well. However, the staff stated that there are too few facts known about the process of partnership and about changes in the practice of partnership.

5.4.3 Phenomenon: Risk of instability in service provision

The risk of instability of service provision for children with disabilities was a central theme of both FG discussions. The achievements of NRC were highlighted in the discussions. This reflected the concern of the participants for the continuation of the long-time services provided by NRC. The data from both groups were analysed following the paradigm model of axial coding (Table 5.8).

1) Phenomenon: The service provision of NRC is at risk to fail if the NRC would be under-resourced which would affect the target group of NRC children with disabilities, their families and communities.

Will the German organisation support again 100% if we can't manage by ourselves?
(focus groups\1: 116 - 116)

When the money is low, or the funding will go down will the children continue to get treatment and help anymore? (focus groups\2: 108 - 108)

2) Cause: The cause for this challenge is the lack of an alternative to the long-time financial support of the external donor. The NRC is dependent on support from outside because there is no sufficient local financial resource basis. The services provided by NRC are neither paid for fully by the clients nor sufficiently supported by the government or civil society.

The whole load was with NM. (focus groups\1: 121 - 121)

When we run short of money, who can come in? Ugandan government, the local community, parents, children should be more mobilised. (focus groups\1: 118 - 118)

TABLE 5.8: PARADIGM MODEL FOCUS GROUPS

Paradigm	Characteristics
Phenomenon	<ul style="list-style-type: none"> • Instability of service provision of NRC
Cause	<ul style="list-style-type: none"> • Dependence on external support • No alternative to main donor • Risk of failure of NRC due to limitation of finances
Context and intervening conditions	<ul style="list-style-type: none"> • Long-time partnership, handover to overcome dependency • Economic background: clients are a marginalised group, only limited local financial support for NRC • Lack of local ownership but network of stakeholders
Action strategies	<p>Improve and ensure local resource basis through:</p> <ul style="list-style-type: none"> • Financial resource mobilisation: fundraising, user fees, IGP • Appropriate working conditions and salaries for staff
Consequences	<ul style="list-style-type: none"> • Increased sustainability • More self-reliance • Increased stability of services

3) Context and intervening conditions: The context of the phenomenon is the long-time partnership of NRC with one main donor which resulted in a dependency on the NM. The NM decided to start a transition process by transferring the administrative responsibility into Ugandan leadership.

The intervening conditions are the cultural attitude towards children with disabilities who are often neglected in Uganda. As a result, parents sometimes do not agree to pay for expensive medical treatment of their children.

At first, the vision of NRC was owned by a few people, but it became supported by the NM. This allowed the NRC to exist many years through the dependency on foreign support. Despite this, the NRC developed a wider network of stakeholders and supporters in Uganda, even though the government provides very limited support.

B. found it that the parents were sort of neglecting the children with disabilities. [...] So, he was trying to enlighten parents that they can still have some good use of these children of disability. [...] Then he was owning it, somehow owning it. (focus groups\1: 42 - 43)

That Z. went, then since she left they gave it over to A. As they are following what is going on. For them when they are aside looking how things are moving. (focus groups\1: 107 - 107)

The government of Uganda pretends not to see that the problem exists. But we have at least some assistance from the government. (focus groups\1: 72 - 72)

4) Action strategies: The groups discussed different ideas to overcome the instability of service provision. The suggested actions emphasise activities that improve local resource mobilisation and that financial resources could be mobilised by increasing user fees and starting an IGP. Another strategy would be to improve the working conditions for the staff as they are the implementers of the activities of NRC. The NRC should become an attractive working place for well-qualified and experienced staff to ensure the high quality of services and the sustainability of NRC.

Yes, it is possible the parent contribution to be stepped up? I can't imagine that one cannot raise that money. (focus groups\1: 122 - 122)

That at first was an idea from the Open day to get a piece of land so they, we can use it, or we plant any-. So that we can get some money from it. (focus groups\1: 102 - 102)

And also, the other change is, that came up or is that the staffs are not enough. (focus groups\2: 34 - 34)

Some people move away from the organisation. Because they are not paid enough which affects their lives and their input for this organisation. They can, end up running away. (focus groups\2: 86 - 86)

5) Consequences: The consequence of the suggested strategies could increase the local income which, in turn, could be reinvested in the NRC or its projects. The situation of NRC and the service delivery would be more

sustainable by having several sources of income and well-experienced staff. The stability of the local resource base would increase the self-reliance of the NRC and reduce the risk of instability of services.

So, the workshop needs to be renovated. Then the income from the workshop and the parent contribution could be used to, to buy a piece of land. (focus groups\1: 151 - 151)

Because now that's why some people they come from around Kampala [...]. Because here it is so cheap. [...] But I think as things have changed I think it's better or we add just a bit. So that even tomorrow others they can benefit from the NRC. Instead of today and then tomorrow it is not there. (focus groups\1: 127 - 127)

For me I would think that one way is to move forward the organisation is when you have people who are already familiar with the system, who already know the challenges for the organisation. And these are the people you have worked with. (focus groups\2: 86 - 86)

5.5 TRIANGULATION OF DATA

This case study uses multiple sources of evidence which is a strength of case studies. Firstly, the data from documents, expert interviews and focus groups were analysed separately in a “nonconvergence of evidence”. Through triangulation of data the facts of the case study are supported by more than one source of information which leads to a “convergence of evidence”. The similarities and differences in the pattern found in the analysis of each set present the links on the level of data sets. In this way the data of documents, focus group discussions and expert interviews were linked and analysed by triangulation. (Flick 210:450; Yin 2007:100)

The data of all sources of this study were combined and triangulated using MAXQDA tools. The lexical search provides an overview of the occurrence of phrases or words in each set of data. The quantity of frequently used words is listed in Table 5.9 according to the relevant research topics. In addition, the percentage of the total number of hits per data source is highlighted.

In the category “NRC as NGO” the terms ‘Board’, ‘district’, ‘government’ and ‘church’ are frequently mentioned as key players in close contact with NRC. ‘Children’, ‘disability’ and ‘vision’ reflect the data sets concerned with the mission of the NRC. In the area of “sustainability” the words ‘plan’, ‘strategy’,

‘development’ in connection with ‘challenge’, ‘change’ and ‘grow’ refer to the need of actions for sustainability. The words ‘leader’ and ‘owner’ highlight the importance of these roles for the development of organisational sustainability. The words relevant in the area of “local financial resources” highlight the combination of ‘support’, ‘resources’ and ‘project’ among others. “Partnership” and related phrases were not mentioned as often as other topics.

TABLE 5.9: LEXICAL SEARCH

Word	Total number of hits	In interviews (% of total number)	In documents (% of total number)	In FGs (% of total number)
NRC as an NGO				
Board	280	63.9	34.3	1.8
Children	228	75.0	4.4	20.6
District	75	68.0	30.7	1.3
Government	70	82.9	8.6	8.6
Disability	51	86.3	0	13.7
Church	37	89.2	10.8	0
Vision	33	72.7	24.2	3.0
Sustainability				
Plan	167	69.5	27.5	3.0
Challenge	106	83.0	8.5	8.5
Change	95	68.4	10.5	21.1
Sustainability	84	94.0	6.0	0
Leader	84	73.8	21.4	4.8
Grow	22	86.4	13.6	0
Strategy	20	85.0	15.0	0
Development	18	88.9	11.1	0
Owner	14	57.1	35.7	7.1
Local financial resources				
Support	323	93.2	3.1	3.7
Resource	163	84.7	9.2	6.1
Project	155	80.0	12.3	7.7
Local	143	91.6	7.0	1.4
Money	95	73.7	5.3	21.1
Income	38	65.8	15.8	18.4
Finance	15	66.7	26.7	6.7
Partnership				
Partnership	128	95.3	2.3	2.3
Network	59	88.1	11.9	0
Work together	45	82.2	11.1	6.7
Transition	12	83.3	16.7	0

The expert interviews provide the mass of data in this research. Accordingly, all searched phrases are mentioned most often in the interviews. The number

of phrases found in documents and focus group discussion varies according to specific themes.

5.5.1 Specifics of each data set

Each source of data highlights specific points of the research according to the characteristic of the collected data and the research methods used.

NRC documents

The documents of NRC provide information mainly about the development of the NRC as organisation, its achievements and challenges. For instance, the start of increased networking with other organisations is recognised as an achievement. Challenges are the limited national recognition of NRC, the leadership ability of the Board of the NRC and the financial as well as the organisational sustainability of NRC.

Because of this, the start of an IGP and opportunities for local resource mobilisation or support by the government were common points of discussion in the Board meetings. In spite of these discussions the Board did not develop a strategic plan for the future of NRC. The handover of administrative responsibility to the Ugandan leadership is merely reported, but the advantage of this step is questioned. In fact, the question is raised why this process is called a success. The development of a strategic plan with the support of an external adviser is scheduled for 2018 to overcome the challenge of lacking a concept for sustainability. It is remarkable that the partnership with the NM plays only a little role in these documents. The Board of the NRC appreciates the support of the NM which sustains the NRC. The partnership itself is not mentioned often in the documents. The Board appreciates the partnership but does not question the partnership practice. This might be caused by a lack of mutual understanding and a missing personal relationship between the partners. There are signs of an unbalanced relationship, for instance the strong influence of the partnership on the current situation of the NRC and the few changes of the practice of partnership in the past.

NM documents

The documents of NM focus on the need for changes in the partnership with NRC due to constraints on the side of the NM. The administrative responsibility

was handed over to the Ugandan leadership after optimising administrative issues for more transparency. This handover in 2016 marks a change in the practice of partnership. The NM announced that it would leave the leading role in the partnership but provided few guidelines for the process that would follow. The focus of the NM is on the expected organisational development of NRC, capacity building of the leadership and increased local and international networking. The expected role of the NRC in the partnership includes accountability towards the NM, sending reports, and receiving personnel and volunteers sent by the NM.

The financial sustainability of NRC does not receive much attention in the documents of the NM. The NRC is instructed to look for alternative funding sources but without further recommendations by the NM. The NM decided and promised to support the NRC financially in future through donations from friends of NRC. The handover is stated as a development of the NRC, but further steps of this process are not outlined or explained transparently. However, the placement of a coach to advise the new leadership on administrative and financial issues is welcomed and supported by the NM.

Expert interviews

The expert interviews highlight the mission and the achievements of NRC for children and communities according to the questions of the interview guide. The recognition of NRC by the public was commented on diversely. The NRC is well recognised in the districts around Namutamba but not much is known on national level.

The group of experts with closer contact to the NRC (interviews 1-6) focussed on the responsibilities and the composition of the Board as significant factors for the development of the organisation. The group of experts representing other organisations cooperating with NRC (interviews 7-12) highlighted the needs of advertising the NRC and networking closer with other organisations and the civil society.

The challenge of sustainability of the NRC and the need for capacity building in the leadership were stressed in the interviews 1-6. The financial sustainability of NRC captured detailed attention of most interviewees. The interviews 1-6

provided more information about the challenge of lacking financial sustainability and options for local resource mobilisation. This group also gave the most comments about the partnership with the NM and the handover process. The dependency of NRC on external financial support significantly determines the character of the partnership with the NM. The handover changed the partnership provoking insecurity about the continuity of the practice of partnership. Therefore, more clarity about future plans regarding the partnership and improvement of partnership practice are demanded. The development of a strategy for sustainability including capacity building and organisational empowerment were suggested. In conclusion, interviews 1-6 provided more significant information according to the questions of the interview guide regarding the research questions of this study.

The second group of interviewees (7-12) did not elaborate on the topics of partnership with the NM and the handover, due to less information.

Focus groups

The FG discussions provided detailed information about the history and the achievements of NRC according to the appreciative inquiry used as method of discussion. The groups discussed the visions for the future of the NRC differently according to the composition of each group.

FG1, consisting of community members, discussed lengthily about opportunities for better education of children admitted at NRC and increment of user fees. FG2 consisting of staff members highlighted options to improve the structure of the buildings of NRC and the working conditions for the staff. FG2 was more aware of the achievements of the partnership with the NM and their outcome in sustaining the services of NRC for a high number of children.

Both groups regarded the financial sustainability of NRC as a challenge. They expressed their hope to receive support from the government as one way and suggested the start of an IGP as another way to increased sustainability of NRC. The handover of leadership was not mentioned often in both groups. Moreover, other aspects of the partnership were not discussed possibly due to lack of information.

5.5.2 Links between data sets

Similarities and differences in the collected data sets are realised in the following areas. The documents of NRC, the focus group discussions and the expert interviews focus on the sustainability of NRC. Only the documents of the NM do not highlight this topic. The NM documents show generally less similarities in the topics mentioned than the other data sets. This might be caused by the source of origin.

The practice of partnership of the NRC with the NM is addressed mainly in the NM documents and the expert interviews 1-6 but not in the NRC documents and focus groups. This might be ascribed to limited availability of information about the partnership process in the hands of external stakeholders of NRC. FG2, consisting of staff members, revealed that there is not much knowledge about the process of partnership in the hands of internal stakeholders as well.

All data sources highlight the achievements of NRC that have been realised through the financial support provided by the NM for many years. The stability of the partnership was challenged due to the above-mentioned changes in the partnership in 2016. The stable financial basis of NRC was threatened according to NRC documents, FG discussions and interviews. Consequently, the sustainability of NRC became a significant point of discussion by the Board, staff members, stakeholders and the community. The ideas for raising more local financial resources are manifold but they seem not to be reliable enough to sustain the NRC and its services. All data sources except the NM documents confirm the importance of the partnership with the NM for the sustainability of the NRC.

The Code-Relations-Browser of the MAXQDA program was used to visualise relations between codes and mentioned topics summarising links in all data sets. Table 5.10 shows the co-occurrence or proximity of two codes in one paragraph of the data. The number of hits provides information about how many data segments are attached to any two codes. Code relations with more than 15 hits are displayed in descending order.

TABLE 5.10: CODE-RELATIONS-BROWSER (all data sets)

Code	Code	Number of code relations
Children benefit	Empowerment	27
	Health	22
Recognition by public	Well-recognised	20
	By government	16
Weak aspects of Board	Composition	23
	Responsibility not clear	22
	Being visionary, flexible	22
Resource mobilisation	Resources not enough to sustain	21
	Self-reliance	19
	Increase user fees	19
	Scale for user fees	17
	Fundraising	17
Identification of IGP	Cattle rearing (IGP)	30
	Farming (IGP)	26
	Buying land (IGP)	20
	Financial sustainability a challenge	19
	Wood workshop (IGP)	17
	IGP should complement mission	16
	Low user fees	16
	Starting capital for IGP	16
	Investment for IGP	16
Recommendations for partnership	Exchange visits	25
	Need for mutual understanding	24
	Partnering to continue	23
	NRC to learn walking	20
	Partnership was sustaining NRC	19

	Long-time financial support	17
	NRC to plan with donor	17

Children with disabilities are frequently mentioned in the data because they are the target group of NRC and closely linked with the mission and the achievements of NRC. Empowerment of children, medical treatment together with the change of attitude towards children with disabilities is promoted by the NRC. The recognition of the NRC by the public is related to the recognition by the government in a special way. The NRC is regarded as well-recognised by the public around Namutamba. The low capacity of the Board of the NRC is linked with the composition of the Board. Furthermore, the lack of responsibility of the current Board is realised as a weak characteristic of the Board which should be more flexible and visionary.

The resource mobilisation is related to the topic of self-reliance of NRC. The need to mobilise local resources is connected to the fact that local resources might not be sufficient to sustain the NRC in future. The increment of user fees and fundraising are suggested methods of local resource mobilisation.

The identification of an adequate IGP plays an important role in most of the data. The idea of farming, including cattle rearing, is favoured. Buying land or restarting the wood workshop are mentioned often as well. The financial sustainability is regarded frequently as a challenge in relation to the IGP. Any project needs starting capital or investment and should complement the mission of NRC. Low user fees are mentioned together with the need for an IGP. Recommendations for the partnership include the topics of exchange visits and the need for mutual understanding. The long-time support of the NM that sustained the NRC in the past is connected with the hope of continuing the partnership in future. Mutual understanding and planning are recommended to facilitate organisational development of the NRC.

Disparate views of the partnership

The data reveals different perspectives on the role of the partnership for the sustainability of NRC. The NRC documents (5.2.1) do not comment on the practice of partnership but focus on the immediate situation of NRC. The NRC

appreciates the partnership with the NM and the outcomes of the partnership. The financial sustainability of NRC is realised as a challenge due to the expected changes in resourcing through the NM. In addition, the role of the Board is critically reflected as no steps to improve the limited capacity of the Board are recognised.

The NM documents (5.2.2) focus on the earlier partnership agreement and on the planned changes of the partnership practice. The handover of the administrative responsibility to the Ugandan leadership marks an important event after 11 years of German leadership. Less attention is paid to the consequences of the changes in the partnership for the NRC. The challenge of financial sustainability of NRC and the lack of leadership capacity is not commented on. In spite of this, the NM advises the placement of a coach for the director.

The focus groups (5.4) provide a different view on the situation of NRC. Most of the participants are only basically informed about the partnership of NRC and NM but do not know details about the partnering process. As a result, the focus of the participants is on the current challenge of securing the service provision of NRC and on the improvement of the working conditions. Several opportunities to increase the financial sustainability of NRC are suggested and reflect the concern of the participants for the NRC.

In the expert interviews (5.3) the partnership was discussed as the basis for all achievements of NRC on one side and the challenge for more self-reliance of NRC on the other side. The development of NRC in the changing 'parent-child' relationship with NM is regarded to be at a sensitive stage. The right proportion of support and learning opportunities in the partnership is needed to enable the NRC to grow and develop into an empowered and sustainable organisation. The financial sustainability of the NRC must receive special attention in the partnership as it is the main challenge to the sustainability of NRC. The importance of the partnership for the sustainability of the NRC is highlighted by all data collected from Ugandan sources but not by the NM which might indicate the disparate views on the partnership.

The influence of the partnership on sustainability

In this chapter various phenomena were explored according to the data sources. Table 5.11 provides an overview of these central phenomena realised through the process of coding.

The thought process to arrive at the different phenomena was the following: The eight NRC documents (Table 4.6) include documents which highlight the need for a local ownership of NRC. This topic was mentioned in the following documents: 3/2015, 4/2016, 5/2017, 6/2017, 7/2017.

The four documents of NM (Table 4.6) refer directly to the partnership with the NRC. The documents were chosen because of their reference to the terms of partnership and their changes. Focus group 1 and 2 discussed many challenges of the NRC. The most severe challenge according to the answers of the participants seemed to be the consequence of limited financial support which would risk the stability of services of NRC or worse lead to the closure of the NRC.

The expert interviews circled around the achievements and challenges of NRC and of the partnership. The obvious challenge of the partnership is the dependency which was confirmed by most interview partners.

TABLE 5.11: OVERVIEW OF THE CENTRAL PHENOMENA

Data source	Central phenomenon
NRC documents	Lack of ownership
NM documents	Changes in the partnership
Focus group 1 and 2	Risk of instability in service provision
Expert interviews 1-6	Dependent partnership
Expert interviews 7-12	Limited local financial support

The next section focuses on the relation between the main topic of each data source. The above-mentioned phenomena highlight the link between the situation of the NRC, the recent practice of partnership, its current changes and

their effect on the sustainability of NRC. From this it can be assumed that the partnership influences the sustainability of NRC. The link between the partnership and the sustainability of NRC was also analysed using MAXQDA tools, for instance the Code-Matrix-Browser and Document Comparison Charts (Appendix G). The findings of the various data sources are summarised in the following paradigm which explores the relation of the partnership and the sustainability of NRC (Table 5.12).

TABLE 5.12: DATA TRIANGULATION

Paradigm	Characteristics
Phenomenon	Limited sustainability of NRC
Cause	Long-time partnership caused resource dependency of NRC
Context and intervening conditions	<ul style="list-style-type: none"> • Positive performance and local recognition of NRC • Limited local ownership of NRC • Limited local financial resources • Current changes in partnership
Strategies	<ol style="list-style-type: none"> 1. Internal organisation: <ul style="list-style-type: none"> • Capacity building of the leadership • Concept for local resource mobilisation 2. External linkages: <ul style="list-style-type: none"> • Increasing public relations and networking • Seeking government support 3. Partnership with the NM: <ul style="list-style-type: none"> • Renew partnership procedures
Consequence	<ol style="list-style-type: none"> 1. Empowered NGO 2. The NRC is a visible and active development partner in adequate networks 3. The active partnership between NRC and NM facilitates the organisational sustainability of NRC

1) Phenomenon: The recent partnership of NRC and NM is characterised as a dependent relationship with a power imbalance between the organisations. The NRC runs several programs that depend on a stable financial basis for their sustenance. The lack of sustainability of NRC might lead to a critical situation because the stability of the partnership with the NM as the main donor is questioned. More self-reliance of NRC is needed and herein lies the challenge.

2) Cause: The long-term dependency on external support caused an imbalance in the relationship with the NM. The dependency of NRC is increased by the limited local financial support in connection with limited national recognition of the NRC as an NGO that provides services to a marginalised group.

3) Context and intervening conditions: The NRC offer unique services in a region with very limited health services. As a result, the services of NRC as a Referral Centre for four districts are much appreciated in the local area.

The handover of the administration of the NRC to a Ugandan Director emphasises the need for local ownership of NRC. The NRC is so dependent that the withdrawal of the donor would cause the closure of NRC. Moreover, the limited capacity of the Board and limited financial sustainability are challenges in this process.

4) Action strategies: The suggested strategies consider three areas.

1. The main strategy aims at strengthening the NGO and its activities. The internal organisation needs development by the building leadership capacity of the Board and the management. The NRC must be enabled to develop a concept for local resource mobilisation which includes fundraising strategies and potential IGPs.

2. Strategies concerning external links with the NRC include improving the management of public relations, networking and seeking government support.

3. The partnership with the NM is considered separately because it plays a central role for the sustainability of the NRC. The practice of partnership needs to be renewed and improved. In other words, mutual understanding of and between the partners must improve, the previous partnership agreement must be updated, and a new form of joint planning processes must be introduced.

5) Consequences: The consequences are according to the strategies expected in different areas.

1. The result of the strategies concerning the internal organisation should be the empowerment of the NRC in all its functions. This includes developing and stabilising the NRC as NGO and facilitating sustainability. This process needs further monitoring and coaching. As “a child needs time to learn walking”, the organisation needs sufficient time and opportunity to become empowered.

2. The strategies concerning the external linkages will enable NRC to become a development partner that is visible and active in appropriate networks. Close cooperation with the government would play a significant role because of its influence on recognition and sustainability of the NRC.

3. The renewed partnership of the NRC with the NM enables the organisations to work and run together focusing on capacity building, sustainability and the further development of NRC services. This strategy will facilitate the change of the relationship into an active and authentic partnership.

5.6 CONCLUSION

This conclusion provides a summary of the findings of the data analysis in relation to the research questions. Following the process of selective coding in GT, the “story of the case” is elaborated. In other words, one central phenomenon or core concept is selected and presented in its relation to other categories of the narrative. (Flick 2010:312)

The data of this case study provides details about the NRC as Ugandan NGO, its history, performance, recognition and current challenges. The partnership with NM, the main donor of NRC, is closely linked with all aspects of the NRC as an NGO. The stakeholders of the NRC recognise the insufficient sustainability of the NRC as a significant challenge. This insecurity is caused by the handover of administrative responsibility and the changes of financial support from the NM in 2016. The stakeholders emphasise the need for a clear strategy to develop the NRC as NGO and to plan for its sustainability. The partnership with the NM plays a central role in this process because of its influences on the whole situation of the NRC.

The partnership of the NRC with the NM is the central concept in this study. The achievements and challenges of the partnership are recognised in the current transition period and certainly also the impact of the partnership on the sustainability of NRC. Several factors of the partnership influence the sustainability of NRC positively or negatively. The positive and the challenging outcomes of the partnership have an effect on the sustainability of the organisation in a supportive or non-supportive way. The relations of these factors of partnership as core concepts of the study are displayed in Table 5.13.

TABLE 5.13: PARTNERSHIP AND SUSTAINABILITY

	Supportive for the sustainability of NRC	Non-supportive for the sustainability of NRC
Achievements of the partnership	<ul style="list-style-type: none"> - Achievements of NRC → achieved through the partnership - Capacity development of staff → supported by NM - Increasing networking → through contacts of NM 	<ul style="list-style-type: none"> - NM being the main donor → resource dependency - Long-term partnership → insufficient evaluations - Communication with Board and leadership → few contacts
Challenges of the partnership	<ul style="list-style-type: none"> - Handover of administration → provides opportunity for learning and adaptation - Outdated MoU → opportunity to improve the practice of partnership with new MoU - Changed procedure of financial support → need of sustainability plan 	<ul style="list-style-type: none"> - Financial dependency → risk of instability in service provision - Limited capacity of the Board reinforced by dependency → lack of ownership - Transition without plan for sustainability → missing concept for local resource mobilisation

All achievements of the NRC are regarded as achievements of the partnership as well because of the strong impact of the financial and human resources received from NM. Moreover, the current performance and the recognition of

the NRC by the public are achieved through this partnership. Further training and staff development were planned and supported by the NM. In addition, the NM also initiated new contacts with other national and international organisations that positively influenced the networking of the NRC. All these factors are supportive for the sustainability of NRC.

Other achievements of the partnership are regarded as non-supportive for the sustainability of the NRC. For instance, the NM as the main donor of NRC secured the stability of the services of NRC for many years. On the other hand, the sustainability of NRC is challenged by its dependency on the financial support of the NM without alternative financial resource. The long-term partnership did not realise earlier opportunities for regular evaluations to address this challenge and plan for sustainability. Although, there was communication between the leadership of the organisations the contacts were too few to discuss the cooperation and the practice of partnering in detail. This lack of communication and information is described by the stakeholders of the NRC in regard to the leadership handover and the financial sustainability of the NRC.

Certainly, on one hand the practice of partnership caused challenges for the sustainability of the NRC. On the other hand, these limitations of the partnership provide new opportunities which might support the increment of sustainability of the NRC. The handover of the administration provides manifold learning opportunities for the Ugandan leadership. Adjustments and adaptations in the management of the NRC might improve its sustainability. The practice of partnership could be improved by renewing and updating the MoU between the organisations. The challenge of a changed procedure of financial support through the NM highlights the need for a sustainability strategy for the NRC.

In contrast, there are challenges of the partnership that influence the sustainability of NRC negatively. For example, the financial resource dependency of the NRC could lead to instability in the service provision. In addition, the limited capacity of the Board of NRC supported by the dependent partnership caused the Board to vest insufficient ownership in the NRC. Again, the transition without corresponding plan for sustainability exacerbated the challenge of lacking a strategy for local resource mobilisation.

This overview provided the details of the various influences of the partnership between NRC and NM on the sustainability of the NRC recognised through the data analysis. These results are discussed further in the following chapter.

CHAPTER 6 CONCLUSIONS AND RECOMMENDATIONS

6.1 INTRODUCTION

The previous chapter presented all the data of the qualitative research. This chapter, chapter 6, contains the discussion of the results of the data analysis and conclusions of the case study. This research is concluded by means of a report about the case of the partnership of the NRC with the NM. Although, several facts of the partnership have already been highlighted under 2.4.3, the main points of the findings are summarised in the following section. Moreover, recommendations for the development of organisational sustainability of NRC are suggested according to the research question.

6.2 DISCUSSION OF THE RESULTS

The main aim of the study was to explore the practice of partnership of the NRC with the NM and its effect on the development of organisational sustainability of NRC. The conclusions of the research are explained in detail according to the research objectives of this study. The objectives of the study were to review the current practice of partnership on the basis of a literature review with reference to the views of stakeholders of NRC, to identify achievements and challenges of the partnership regarding the organisational sustainability of NRC and to recommend strategies for organisational sustainability.

6.2.1 Current practice of partnership

6.2.1.1 Form of partnership

One objective of this study was to explore the current practice of partnership of the NRC with the donor organisation. The aim of this process was to identify the form of partnership developed between NRC and NM. The NRC is a Ugandan NGO that partners with the NM, an international working, faith-based NGO. The NRC also cooperates with organisations working in the health sector or with the same target group (children with disabilities), with government authorities and church departments.

Organisational and partnership values

The NRC is classified as a value-based NGO because of its Christian values and ethics, for instance, empathy, compassion and embracing diversity instead of discrimination. Learning from past experience is set as an organisational aim but self-evaluations are not yet included in the strategical plan. The organisation is accountable and transparent in its dealing with stakeholders and the community. The NRC is embedded in the local society and has a wide local legitimacy (Nakafunvu 2017). As Hailey (2000:406) states the promotion of such organisational values in an NGO might be an advantageous distinction to other service providers.

The NRC is an externally initiated NGO. The partnership started through an effort of the NM about 20 years ago. The core values of the partnership are Christian love for children with disabilities and their families aimed at improving their quality of life. The activities provided at NRC include holistic rehabilitation, empowerment and education, but the focus of NRC activities is on medical rehabilitation. The outcomes of the activities are proved in yearly reports and statistics of children who were treated and supported. (NRC 2018:3)

Roles of the partners

The role of each organisation in the partnership is defined in the following way: the NRC should reach its vision and mission through strategic management. The Director and the management team together with the Board of NRC have the responsibility to enable the NRC for this purpose. The role of the NM is to provide financial and technical support towards the activities of the NRC. Further to this, the NM links the NRC with international donors and organisations. The NM is represented by its Board and supported by a work group which includes persons with work experience at NRC. The NRC provides non-financial and the NM both financial and non-financial resources towards the partnership. The NRC is accountable to local authorities and stakeholders as well as to local and international donors. The NM exercises accountability to its members and donors, to governing authorities and in a limited extent to its partner organisations.

Initially the role of the NM in the relationship between NRC and NM started as institutional supporter according to the types of relationship explained under 3.4.3 (Fowler 2000a, Squire 2012). This type of relationship is common when the Northern NGO has worked with the Southern NGOs for a long time, and its support influences the programs and performance of the Southern NGO significantly. Both sides should have equal roles in this relationship and make decisions together on all levels of management which is not practiced in this partnership of NRC with NM. The collected data of focus groups and interviews, including management members of NRC, reveal a lack of knowledge about the partnering processes. This confirms the unbalanced roles within the partnership wherein the NM is dominant in decision making and directing the partnering process. In addition, full mutual support for the identity and all aspects of the work of each organisation, which is characteristic of an ideal partnership, is not recognised in this partnership under review. (Brinkerhoff 2002:14; Fowler 2000:4; Tennyson 2011:4)

Characteristics of the partnership

The relationship between NRC and NM displays a limited degree of mutuality as the history of being a 'child organisation' permeates the experience of partnership on the side of the NRC. This is reflected in the statements of interviewees. Stakeholders expected the failure of NRC after the transition of administrative responsibility to the new Director. The NRC is compared with a child that is not yet able to walk by itself but still needs support from the parent. With this in mind, power relations in this partnership are obviously unbalanced. The influence of such power imbalances cannot easily be removed, and the risk of relational disempowerment must be considered (Fowler 2000, Mohan 2001) An important step towards a more equal relationship would be a change of the above-mentioned patronising attitude of the NM.

Altogether, the question is whether such a relationship is a real partnership. The ideal and the reality of partnerships were already discussed in the literature review under 3.4.5 (Brehm 2004; Brinkerhoff 2002; Contu & Girei 2014; Fowler 2002; Hauck & Land 2000; Lewis 2001). Many NGO partnerships are unequal relationships characterised by unequal power relations. The conclusion is that ideal partnerships are hard to achieve in practice if not impossible under

conditions of structural inequality in resources, power and institutional strengths between the partners. In spite of these arguments the relationship between the NRC and the NM is here categorised as a partnership although not ideal.

The relationship between the NRC and the NM is characterised as a dependent partnership in contrast to an active partnership which was differentiated under 3.4.5 (Ahmad 2006; Lewis 2001). The partnership shows the following indications of a dependent partnership. The partnership is a long-term relationship that was initiated, in blue print character, by the Germans. It was always open to adjustments that were suggested by the NM according to the current changes over time. The roles of each organisation in the partnership were not negotiated and the comparative advantage of partnering was assumed. Furthermore, poor communication flow led to unclear roles and purposes in decision making. The absence of debate and dissent, in the past, characterised the communication between the partners. In other words, the NRC consented willingly to arrangements by the NM because of the unequal power relation due to the financial support provided by the NM. To sum up, the main limits to partnerships recognised by Brehm (2004:3) are at work in this partnership under review. The control over the finances by the Northern donor lead to a power imbalance and hindered the development of equality between the partners. Moreover, the NRC did not develop sufficient self-reliance but a donor-driven attitude. In fact, the lower organisational capacity of NRC compared to that of the NM limited the partnership dialogue.

The partnership of NRC and NM is not regarded as an authentic partnership which should present a certain depth of engagement by the partners in the areas of information exchange, consultation, shared influence and joint control; although, the NRC fulfils its obligations through consulting the NM in issues of organisational decisions and choices (Fowler 2000:6). Furthermore, the NRC presents its organisational integrity, its local credibility and transparency in the yearly reviews of NRC. However, the NRC is not entitled to have access to relevant documentation of the NM including negotiations with other parties influencing the partnership. The NRC did not have the opportunity to co-define the conditions affecting the partnership or to co-manage performance standards and partnership agreements. The NRC received funds from the NM

according to the partnership agreement of 2012 but without a stated right to continuous support. Currently, the NRC fulfils its obligation in the relationship with the NM but cannot exercise its rights to the full extent. Although not intended these unbalanced power relations may indicate an unconscious post-colonial mindset (Baaz 2008:74; Oswald & Ruedin 2012:4).

Challenges of the partnership

The main achievement of the partnership is the continuous service provision of NRC that empowered children with disabilities and their families in Uganda. In contrast to this achievement, challenges of the partnership are realised in the outdated partnership agreement, a dependent relationship, and the centralised management of the partnership in the hands of the NM. Recently, the transition of administrative responsibility revealed the need to develop a work plan for the process of partnering and to update the partnership agreement. Capacity building of the Board and leadership of the NRC and a strategic plan for sustainability are needed as well. The development of a strategic plan for the NRC and the renewal of the partnership agreement at the next visit of a representative of the NM are already planned. Yearly exchange visits and evaluations of the partnership are recommended by the participants of this study.

6.2.1.2 Process of partnership

Another objective of the study was to identify the attitude of staff and stakeholders of NRC regarding the partnership of NRC and NM. Documents of the NRC, expert interviews and focus group discussions provided insight into views and experiences of stakeholders with this partnership. Most information was given by stakeholders close to the leadership and Board of the NRC. Staff members and representatives of other organisations identified achievements of the partnership but were not aware of detailed processes of the partnership.

A causal chain model adapted by Brinkerhoff (2002a) is used to explain different aspects of the partnership process and to highlight the effects of the partnership (Figure 6.1). This model is used as a tool to assess and improve partnerships.

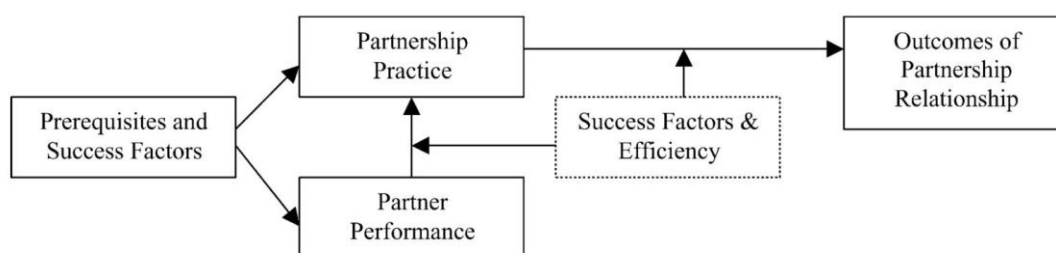


FIGURE 6.1: CAUSAL CHAIN FOR RELATIONSHIP OUTCOMES

(Source: Brinkerhoff 2002a:220)

Five areas of assessment are proposed which are closely linked and may overlap: compliance with prerequisites, partner performance, degree of partnership practice, success factors and efficiency in partnership, and outcomes of the partnership. These areas of the partnership of NRC with NM are explained in detail in the following section and summarised in Table 6.1.

Prerequisites

The prerequisites to an effective partnership relationship include the willingness to share power between the partners. This tolerance appears to be limited in the partnership of NRC with NM because of the previous ‘parent-child’ relationship. In 2016, the changes in the partnership allowed the NRC to take over more responsibility. The NRC is willing to adapt its organisational procedures to improve the partnership performance. Consequently, the NRC adjusted to the recent changes in the partnership caused by the handover. However, the NRC is challenged by the speed and the consequences of the transition process. Partnership champions are a facilitative factor of a partnership (Brinkerhoff 2002a:220). On one hand, the Director and the coach of the NRC are champions of the partnership. On the other hand, the project coordinator and the work group of the NM are champions as well. These champions advocate on behalf of the partnership within their organisations.

Partnership performance

The roles of the partners were prescribed in the MoU of 2012 but 2016 adapted due to the handover of administrative responsibility from the NM to the Director of NRC. The suggested roles in the partnership were accepted by the partners but not discussed. However, there is a positive view of the NRC on the partner performance because of the long-time experience with the NM.

TABLE 6.1: PARTNERSHIP PRACTICE NRC-NM

Factors	
Prerequisites	<ul style="list-style-type: none"> • Growing tolerance to share power, proved by transition of administrative responsibility from NM to NRC • NRC accepted to adapt to timing of NM during transition • Existence of partnership champions on both sides
Partner performance	<ul style="list-style-type: none"> • Role of NRC was adapted due to transition process • Insufficient preparation of Board of NRC for transition • No regular assessments of partner performance • Satisfaction with partner performance because of long-term partnership that sustained NRC
Partnership practice	<ul style="list-style-type: none"> • Limited mutuality and equality in decision making • Resource exchange, reciprocal accountability and transparency are underestimated • Limited number of meetings of partners • Aiming at mutual respect and even benefits • NRC is aware of its organisation identity
Success factors & efficiency	<ul style="list-style-type: none"> • Strong trust, but reduced confidence • Senior management support, but limited support for the Board of NRC • Limited organisation capacity of NRC to meet performance expectations • Uncertain partnership goals, insufficient planning for transition and sustainability • Adequate partner compatibility • Absence of conflict due to unequal power relations • No monitoring of critical factors that influence success of the partnership
Outcomes of the partnership	<ul style="list-style-type: none"> • Value-added through partnership: achievements, staff development, increased networking of NRC • Partnership improved the performance of NRC • Partnership identity reflects the underlying values

(Source: adapted from Brinkerhoff 2002a:221-227)

No regular assessment of the partner performance has been done so far. The satisfaction with partners' performance was not assessed in the past but is assumed due to the long-term partnership that sustained the NRC.

Partnership practice: mutuality and organisation identity

Partnership practice can be described on a relative scale due to the impossibility to fully implement an ideal-type partnership. The degree of partnership was assessed using mutuality and organisation identity as defining dimensions (Brinkerhoff 2002:224).

Mutuality, indicated by equality in decision making, was a challenge from the start of the partnership between NRC and NM because of the above-mentioned power imbalance. The NM controlled the majority of the resources and the NRC deferred to the partners' interests in order not to jeopardise the future support of the NM. In short, the resource exchange, reciprocal accountability and transparency were underestimated in the partnership due to its power imbalance. The participation in partnership meetings was limited according to few visits of representatives of the NM. On the one hand, the idea of exchange visits of both partners was highlighted by the interviewees. On the other hand, exchange visits were recognised as a challenge due to the limited resources of NRC. In conclusion, mutual respect as well as shared risks and benefits are the assumed but unspoken aims of the partnership. Furthermore, the power imbalance and its effect are not addressed by the partners.

The maintenance of the identity of each organisation should be balanced with necessary adaptations in the partnership. The stakeholders of NRC are aware of the identity of the organisation, its mission, values and culture. The partnership with the NM has been part of the organisation identity of NRC from its very beginning. The identity of NRC was challenged by the transition process because the role of the NRC in the partnership is expected to change from a 'young' to a 'mature' partner. The performance of the NRC in the partnership appeared in an unfavourable light due to this demand. Particularly, the Board is challenged by the new role it has to play in spite of limited capacity.

Success factors

The effectiveness of the partnership depends on the extent it complies with identified best practices. There is consensus in the literature that at least five factors influence the success in partnership (Whipple & Frankel 2000:23). These five factors are: *Trust, senior management support, ability to meet performance expectations, clear goals and partner compatibility*.

One of the success factors is *trust* in the character and competence of the participating individuals. NRC is trusting the NM as an organisation and the partnership champions because of the long-time experience of partnering and continuous support for all activities of NRC. The NRC is confident of the reliability of the partnership based on rational expectations due to the previous partnership agreement. However, the confidence is unsettled by the announced changes in financial resourcing through the NM. The trust of the NM in the NRC is expected due to the long-time partnership experience. Trust was confirmed by statements in the NM documents: for instance in the MoU and the letter for the handover ceremony.

Support for senior management contributed directly to the performance of the partnership, for instance the placement of the coach for the Director of NRC supported the transition period. The Board of the NRC lacked support in preparation for the transition period. Further training of management members was supported by the NM which has improved the capacity of the NRC leadership. In spite of this, capacity building of the leadership and an adequate Board composition are still required. The support for senior management of NRC contributed to building trust between the partners and symbolised indirectly the commitment of the NM to the partnership and its success.

The limited organisational capacity of NRC was realised in the lack of concepts for more self-reliance and sustainability. This constrains NRC's *ability to meet performance expectations* in the partnership. The uncertainty about the sustainability of NRC and the partnership in the transition period was intensified by the lack of *clear partnership goals*.

The NRC was initiated and further developed as Rehabilitation Centre by the NM. Consequently, there is a good *compatibility of the partners*. The NRC experienced the reliability of the donor support but did not know or understand

the operations and processes of the NM. The absence of conflict in the partnership might be an additional sign that mutual influence is unbalanced. The exercise of power by the donor shaped the needs of the NRC and influenced the NRC to pursue behaviour in the interests of the NM that included the avoidance of conflict. The power inequality between NRC and NM due to financial resource dependency was explained earlier. A detailed assessment of the power relation between NRC and NM might generate conflicting interpretations because of the subjective view of the researcher.

Efficiency

The efficiency in a partnership is monitored according to indicators for maintaining and improving the partnership. The indicators include critical factors that influence the success of the partnership, for instance the stability of the internal or external environment of the partnership. As for the partnership of NRC and NM, there is no system to monitor the efficiency of the partnership.

Partnership outcomes

Partnership can lead to a better impact of the work of both organisations (Squire 2012:2). In other words, the outcomes of the partnership relate to the partnership's value-add. The services of NRC for children with disabilities and their families were sustained through the partnership for about 20 years. All achievements of the NRC were only made possible through the partnership. These include the output of all activities of NRC, the staff development and the increased networking. In short, the performance of the NRC as an organisation was improved by partnering with the NM. The partnership is characterised by its own identity, mission and processes that reflect the underlying values and comparative advantages.

6.2.2 Partnership influence on sustainability

One objective of the study was to identify achievements and challenges of the NGO partnership regarding the organisational sustainability of NRC. The results of the data analysis regarding the influence of the partnership on the sustainability of NRC were summarised under 5.6. The factors of the partnership that contribute towards organisational sustainability of NRC are highlighted in the following section and utilised as a basis for recommendations.

6.2.2.1 *Achievements of the partnership*

The achievements of the partnership regarding the organisational sustainability of NRC are reflected in the partnership outcomes. The partnership facilitates the service provision for children with disabilities in Mityana District and surrounds. Consequently, it is doing what it set out to do. Through the partnership the NRC was maintained, the performance of the NRC improved, and senior management supported. The impact of the partnership beyond its immediate stakeholder group is proved by the recognition of the achievements of NRC by the public. The NRC gains significant benefits through the partnership as 'added value', for instance organisational development and increased network. These characteristics are signs of a successful partnership according to Tennyson (2011:35).

Moreover, the current practice of partnership provides positive factors for the sustainability of NRC. The long-time relationship of trust and mutual respect and a growing tolerance for sharing power are some of the positive factors that promote sustainability. In addition, each partner is aware of its own organisation's identity, is practicing good reporting and aiming at even benefits for the partners.

The long-time resourcing by one main donor might be regarded as either a positive or negative factor. In any case, the resulting resource dependency of NRC is realised as a challenge for the sustainability. An evaluation system for the partnership was not done possibly because of limited leadership capacity of the partner organisations. Changes in the previous partnership practice were avoided and the efficiency of the partnership not sufficiently monitored.

The opportunity for organisational learning and adaptation at NRC after the handover of administration was recognised as a positive aspect to increase the sustainability of NRC. In addition, there is hope for improved mutual understanding between the partners through the renewal of the MoU. The transition process revealed the need to develop a strategy for financial resource mobilisation and sustainability for NRC and is in this way a positive factor.

6.2.2.2 Challenges of the partnership

Challenges of the partnership regarding the sustainability of NRC were realised in the outcomes and the practice of partnership. First of all, the character of the relationship recognised as a dependent partnership is the challenge for sustainability. Next, the power imbalance, limited mutuality and limited equality in decision making are challenges for the partnership and as a consequence also for the sustainability of NRC.

In addition, the resource dependency of the NRC, its limited organisational capacity to meet performance expectations and insufficient strategic planning increased the risk of instability in service provision. Furthermore, the insecurity of funds reinforced the 'child-parent' stance in interactions between the partners and hindered open dialogue. The NM provides less transparent information than the NRC which may be a disempowering practice.

Obviously, most of the challenges of the partnership were recognised during the transition process. For example, the outdated MoU revealed that information about the partnership and the transition process were limited; therefore, stakeholders raised questions about the partnership and the sustainability of NRC. They realised the Board's lack of ownership of the organisation together with the limited capacity of the Board that was reinforced by dependency. Furthermore, the missing concept for local resource mobilisation endangers the financial sustainability of NRC.

Altogether, the confidence in the NM has become less because of the transition process and uncertain partnership goals. However, the good communication between the partners is an achievement; although, too few contacts with partners has hampered the readiness of the Board and the leadership for the transition. There were neither regular assessments of the partner performance nor identification and management of critical factors for partnership success planned. The lack of an action plan or a 'moving on strategy' for the partnership impeded the sustainability and the self-management of the partnership. Discontinuation of the partnership would be a big challenge for the sustainability of the NRC because of its resource dependency on the NM.

6.2.2.3 Input-Impact Model of NRC

The development of a model or a concept is a specific way of concluding a case study. This case study explored the phenomenon of organisational sustainability which shall be explained by using the developed model. Organisational sustainability is considered as an organisational empowerment outcome in the literature. The overall aim of organisational sustainability is to achieve sustainable development benefits that lead to empowerment of the organisation and individuals in the long-term perspective. The NGO that fulfils its mission over time and meets the needs of the key stakeholders is regarded as sustainable. Altogether, sustainability should be seen as an ongoing process that involves different strategic, organisational, programmatic, social and financial elements. (Hailey 2014:1)

The process of sustainability is discussed following an organisational-level logic model. The model summarises main theoretical insights emerging from the data and displays relations between events observed in real life situations in a bounded system. The organisational-level logic model can serve as a starting point for learning, improving and for greater effectiveness of the NGO, as well as for future study and knowledge construction. (Knowlton & Phillips 2013:14; Rule & John 2011:130; Yin 2007:127,130)

Models are used as a common framework to display inputs, outputs and outcomes of programs and activities. The model of an NGO should provide information about the positive social change that is generated by the NGO and the drivers for this change. A program logic model is designed as a picture that provides information on how an organisation works. It links the impact of a program with the processes and activities that take place. A program logic model shows the cause-and-effect relationship in a program of an NGO.

The Input-Impact Model of the NRC (Figure 6.2) is adapted from Epstein & Buhovac (2009:19) and includes the mission and vision of the NGO. The intention is to highlight not only resources but also other relevant inputs.

This model integrates the influence of the *external environment*, for instance the social, political and economic conditions and the internal environment which reflect the organisational culture and core values of the NGO.

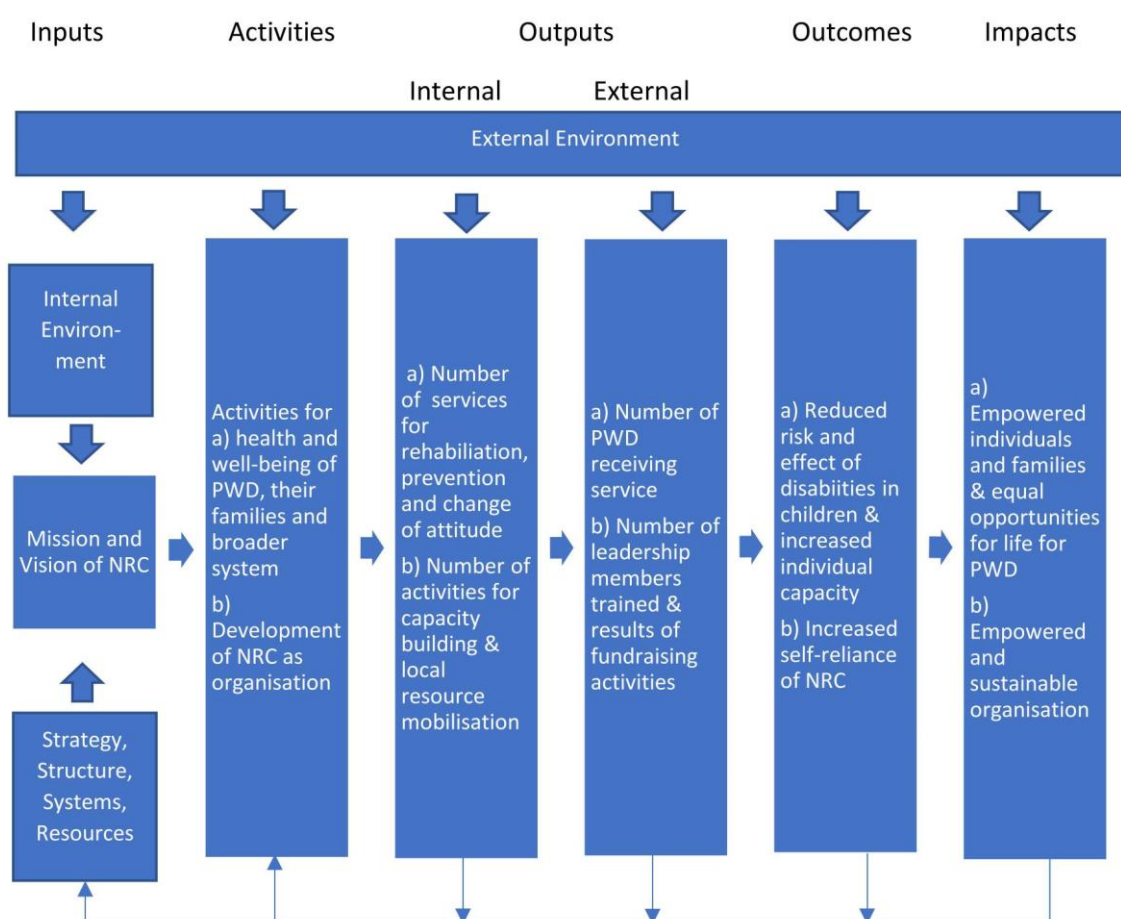


FIGURE 6.2: INPUT-IMPACT MODEL NRC

(Source: adapted Epstein & Buhovac 2009:19)

Several *inputs* or resources are needed to run a program, for instance human, financial, organisational and community resources. These resources are used to accomplish program *activities*, interventions and services.

The number of provided services represents the *output* of the activities. Internal outputs refer to completed activities and external outputs refer to the number of clients, families or communities involved.

The *outcome* explains how the program participants benefit from the services in a certain form. Changes that are expected to occur in the participants, community or society refer to the *impact* of the activities. Sometimes outcomes are differentiated between short-term (1-3 years), intermediate (4-6 years) and long-term (7-10 years) outcomes. There are feedback loops between the various elements of the model showing the direction of influence. (Epstein & Buhovac 2009:17-18; Knowlton & Phillips 2013:36)

The detailed information of this program-level model of the NRC is displayed in Table 6.2.

TABLE 6.2: INPUT-IMPACT MODEL NRC

Resources	Personnel, physical facilities, equipment, contract services, and financial resources
Activities	<p>Focused on</p> <ul style="list-style-type: none"> a) Health and well-being of Persons with Disabilities (PWD) and their families, communities and the broader system b) Organisational development
Internal outputs	<ul style="list-style-type: none"> a) Number of services conducted for rehabilitation, prevention and change of attitude towards PWDs at NRC and in 4 districts b) Number of interventions carried out for capacity building, leadership development and local resource mobilisation
External outputs	<ul style="list-style-type: none"> a) Number of clients dealt with b) Number of management and Board members trained and results of fundraising activities
Outcomes	<ul style="list-style-type: none"> a) Reduced risks and effects of disabilities or acute conditions leading to disabilities and increased individual capacity b) Increased self-reliance of NRC
Impact	<ul style="list-style-type: none"> a) Empowered individuals and families that make active choices, engage in empowering behaviour and equal opportunities for life for PWDs in Central Uganda b) Empowered and sustainable organisation that provides services for children with disabilities

Personnel, physical facilities, equipment, contract services, financial and other resources are necessary to run the programs of the NRC. The activities taking place at NRC focus on the health and well-being of children with disabilities and their families. Another focus of the activities of the NRC are the communities and the broader system in the country. The number of services planned for rehabilitation, prevention and change of attitude towards persons with

disabilities (PWD) at NRC and in neighbouring districts, indicates the internal output of the activities. The external output of the activities is reflected in the number of clients or families counselled or treated. The outcomes of the activities are recognised as reduced risks and effects of disabilities and the increased individual capacity. In other words, the benefits for children with disabilities and their families are improved health and quality of life. The impact of the planned activities is the empowerment of individuals and families to make active choices and to enable others. In addition, equal opportunities in life for children with disabilities in Central Uganda are the expected impact of all activities at NRC.

Simultaneously, there are activities focusing on the organisational development of the NRC. The number of activities for capacity development refer to internal outputs of the activities. The external output is reflected in the number of management and Board members trained. Furthermore, the results of the fundraising activities are the external output of the implemented local resource mobilisation strategies. The outcome should be the increased self-reliance of the NRC. Following this, an empowered, sustainable organisation that provides continuous services for children with disabilities in Central Uganda should be the impact of the activities. In the long-term this program for organisational development of the NRC should enable the organisation to fulfil its mission and meet the needs of children with disabilities for rehabilitation in the region of NRC. In the end, this process should lead to the organisational sustainability of the NRC.

6.2.2.4 Role of the partnership

The topic of this case study was the review of the current practice of partnership of the NRC and the NM. Further to this, the influence of the partnership on organisational aspects of the NRC was explored. The data analysis showed that the partnership enabled the NRC to achieve its mission with the continuous support from the NM for all aspects of the NRC as organisation. However, it is assumed that the partnership is not a one-way process. The partnership provides benefits for both organisations although on different scales.

The NM has provided project support in form of funding for the financially-weaker NRC. It has also provided technical support through back-up of specialists or volunteers. Moreover, the development of a network with similar organisations was supported by the NM. For instance, capacity building through staff development helped the NRC to build its own capacity and develop greater independence.

The legitimacy of the NRC is derived from what the NRC achieved in the relationship with its beneficiaries, the PWDs and their families. The NM obtained its legitimacy and received credit from donors and friends only due to the achievements of its partnership with the NRC. Consequently, the NM was enabled to fulfil its mission. The recognition of this factor highlights the aspect of mutual dependency in this partnership (Fowler 1991:13). The NRC contributed in non-financial ways to the progress and development of the NM, for instance providing technical expertise for other activities of the NM. The NRC also provided information and data for public relation and fundraising activities of the NM. The NRC utilised its local knowledge, contacts and reputation for field activities as well as its logistics for visitors and volunteers. The described mutual support of both partners is shown in Figure 6.3.

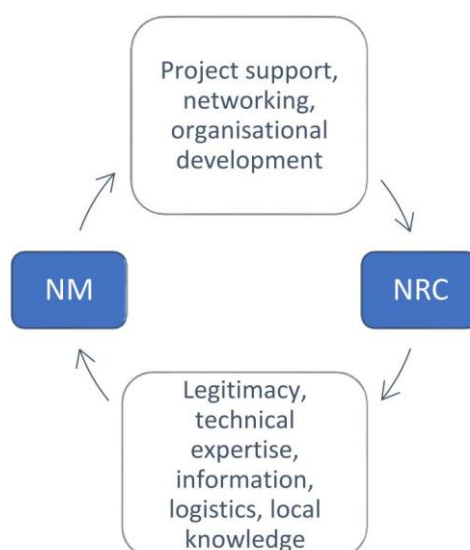


FIGURE 6.3: MUTUAL SUPPORT IN PARTNERSHIP

(Source: adapted from Dóchas 2013:21)

The effect of the partnership of NRC and NM on all activities of NRC, their output and outcome and also the impact are illustrated by a combination of the above-mentioned models (Figure 6.4).

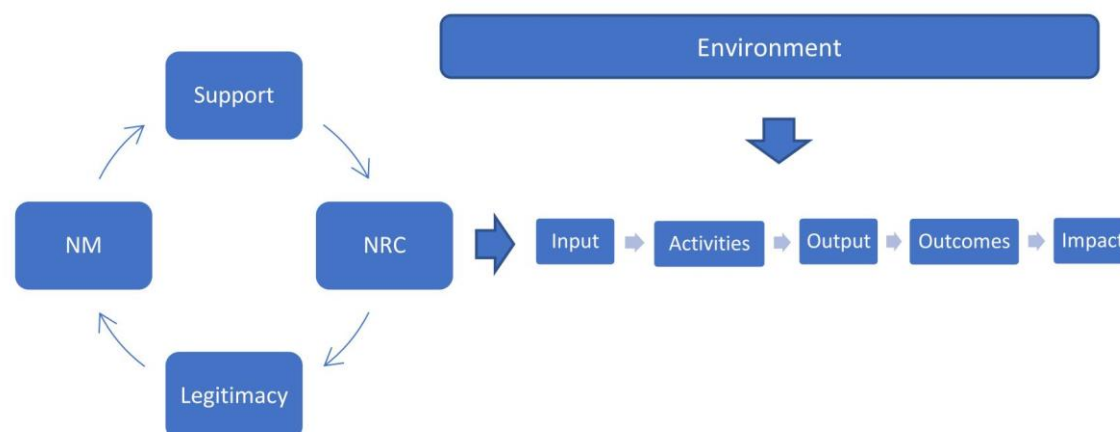


FIGURE 6.4: LOGIC MODEL NM-NRC

(Source: adapted from Dóchas 2013:21; Epstein & Buhovac 2009:19)

This model shows the relationship between the different factors of the phenomenon "role of the partnership". The support of the NM based on the partnership relates directly to all aspects of NRC programs, from the input through to the impact of the activities. This highlights the strong influence of the support of the NM on the existence of the NRC and the relationship between the NGOs. This confirms the characteristic of the NRC as an externally initiated NGO. The outside resourcing allowed the NRC to establish its services for locally perceived needs around a development approach designed by the external supporters (Avina 2002:131). The model in Figure 6.4 displays the typical dependence of a Ugandan NGO on foreign funding and the resulting fragility and weak sustainability of this organisation (MIA 2010:13).

On the other hand, the legitimacy of the NM is also derived via partnerships with organisations in the South. The process of partnering reinforced social credibility, legitimacy, effectiveness, impact and organisational viability of the partner organisations (Fowler 1998:144). In view of this, the achievements of the NRC supported the progress of the NM and have enabled the NM to fulfil its mission. Through changes in the partnership the stability of the support from the NM is regarded as fragile. As a result, the need for organisational

sustainability and mobilisation of multiple resources was realised. The handover of leadership from the NM to the NRC reduced the direct influence of the NM on the administration of the NRC. Otherwise, the NM continues to benefit from all positive aspects of the partnership that increase the credibility and legitimacy of the NM.

The external environment influenced the start of the partnership of the NM with the NRC. At that time, the provision of specified health services for children with disabilities in Uganda was almost non-existent. The development of the NRC and its activities were influenced by the social, political and economic needs and conditions in the country.

6.3 RECOMMENDATIONS FOR SUSTAINABILITY OF NRC

The main objective of this research was to review the current practice of partnership of NRC and its major donor in order to develop recommendations for the sustainability of the local organisation. The following recommendations concern the organisational development of the NRC, the local financial resource mobilisation and the role of the partnership in this process.

According to Fowler (2000b:183) sustainability is closely related to the organisation's response to change. Four elements should feed positively into each other creating a "virtuous spiral for sustainability": the performance and reputation of the NRC as external factors, as well as the ability to learn and adapt as internal factors (Figure 3.5). The performance of the NRC with regard to its mission is recognised by the public. This recognition of achievements created a positive reputation which enhanced the opportunities of NRC for resource mobilisation. Public expression and critique, together with self-assessment fed into a learning process that helps to create new knowledge, to learn from past experience and to bring about organisational change. This adaptation might produce better impact and greater social value. The performance of the NRC is influenced significantly by its organisational capacity which presents an important factor for increasing its sustainability. Special emphasis should be on the role of the leaders and governors of the NRC when creating this spiral of sustainability as a legacy for future development.

6.3.1 Strategies for organisational development

6.3.1.1 Factors of organisational development

Insufficient and weak institutions are recognised as a bottle neck to sustainable and more equitable development in Africa (Fowler, Campbell & Pratt 1992:9). African service NGOs face organisational problems caused by their historical development. The external initiation of the NRC and the resulting dependency syndrome influenced its organisational development significantly. The identity of the NRC, its performance and relationships are the areas of concern for organisational development. The factors for organisational development and resulting needs are highlighted in Figure 6.5.

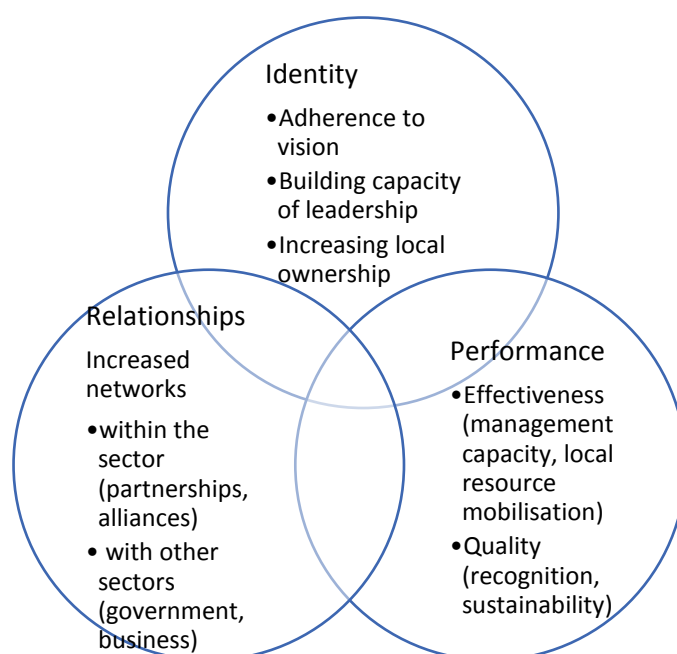


FIGURE 6.5: FACTORS IN ORGANISATIONAL DEVELOPMENT

(Source: adapted from Fowler, Campbell & Pratt 1992:20)

The needs for organisational development are differentiated between strategical or long-term and functional or short-term needs (:21). The *identity* of the NGO and its relationships relate to the strategical needs while the performance presents a functional need. A strategic development plan for NRC was demanded by the interviewees. The need to adhere to the vision of NRC was emphasised in view of the risk to depart from the mission due to financial constraints. Especially, the need for capacity building of leadership and a clear local ownership of the NRC was recognised. In addition, the factor of a wider

network with other development actors was highlighted in most data sources. *Relationships* within the NGO sector or to other sectors were recommended as an important area of organisational direction.

Management of the organisation and the availability of resources play an important role for the *performance* of the NRC and its effectiveness. Consequently, concepts for local resource mobilisation and the development of leadership capacity are demanded. These concepts were recommended to ensure the quality of organisational outcomes or NRC services which are recognised by the public, especially in the Mityana District. These factors of organisational development should improve public relations as well as local support and in consequence the sustainability of NRC.

6.3.1.2 Opportunities for organisational development

The process of organisational capacity development must start from understanding of what kind of changes are needed. Capacity building of leadership as mentioned above is a strategical factor for organisational development. An appropriate mix of interventions and sufficient time should result in behavioural changes and organisational development.

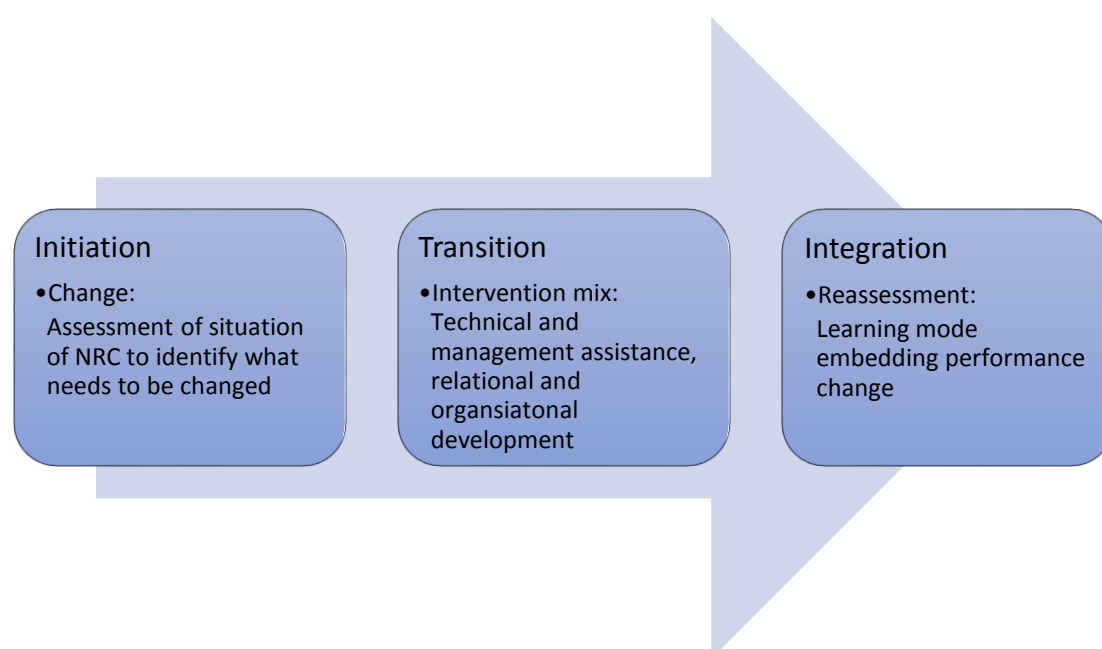


FIGURE 6.6: ORGANISATIONAL CHANGE

(Source: adapted from Fowler 1997:206)

The process of organisational change for capacity growth occurs in sequences highlighted in Figure 6.6 (Fowler 1997:206). The initiation of change is the first phase, followed by the transition phase with a chosen mix of interventions. Later, the integration of changed organisational factors should be reassessed to confirm the continuation of a learning mode and performance change.

Capacity development was also highlighted under 3.2.6.3 as one empowerment framework to strengthen partner organisations. The influence of external actors can be used to strengthen NGOs to become effective, independent and empowered partners.

The potentials and opportunities for capacity growth of NRC must be developed in four areas: on individual, organisational, network and system level. The 'system' in this sense denotes social and political rules, fundamental values and norms (SDC 2006:5). The recommendations from the data are summarised in Table 6.3.

TABLE 6.3: CAPACITY DEVELOPMENT NRC

Dimension	Focus of suggested intervention
Individual Learning	<ul style="list-style-type: none"> - Coach for the Director of the NRC - Training for the Board (key competencies and capability for leadership)
Development of the organisation	<ul style="list-style-type: none"> - Change management (development of strategies, core competencies, organisational learning, and self-evaluation)
Development of networks	<ul style="list-style-type: none"> - Network management (organising and developing cooperation and networks)
Development of the system (political, socio-economic and cultural framework)	<ul style="list-style-type: none"> - Improvement of legal, political and socio-economic parameters to enable people, organisations and networks to increase their capability (platform for representation, access to resources, and process structuring)

(Source: adapted from SDC 2006:7)

Individual Learning was emphasised by the placement of a coach to work with the Ugandan Director for at least three years. The implementation of special

training or a workshop for the Board members was recommended for better understanding of the role of the Board and the transition period. The need for sufficient key competencies and adequate capability of the Board must be met by either individual learning or adapting composition of the Board.

The development of the organisation demands change management. Strategies must be developed to adapt working processes, for instance by creating a public relations and fundraising department at NRC. Adaptation to new responsibilities must include the development of core competencies for self-reliance and organisational learning with regular self-evaluations.

The development of networks was mentioned frequently in the data. It is important for the development of capacity because of the opportunities to exchange experience and know-how. The NRC follows up on the idea to create a platform to represent organisations working with children with disabilities. This platform should improve networking in the system. In addition, this process is aimed at improved parameters for organisation capability and access to resources.

6.3.1.3 Options of local resource mobilisation

The need for local resource mobilisation to increase the sustainability of NRC was highlighted through the data analysis. The main flow of resources of NRC has been explained under 2.4.3. In one way, resources were transferred from the donors via the NM to the NRC. These resources were utilised for all activities of NRC to ensure the services provision for the primary stakeholders of NRC. In turn, information and feedback from stakeholders reached the NRC and were conveyed to the NM and their donors.

The search for opportunities to mobilise additional local resources for the NRC played a big role in the data under research. Non-financial and financial options for local resource mobilisation at NRC were discussed and are summarised in Figure 6.7.

Staff and Board members, volunteers, individuals and communities provide the human or non-financial resources for the activities of the NRC. Staff and Board members are required to avoid inconsistency in service provision. The

involvement of volunteers and communities expresses the local commitment and promotes the sustained impact of the NRC.

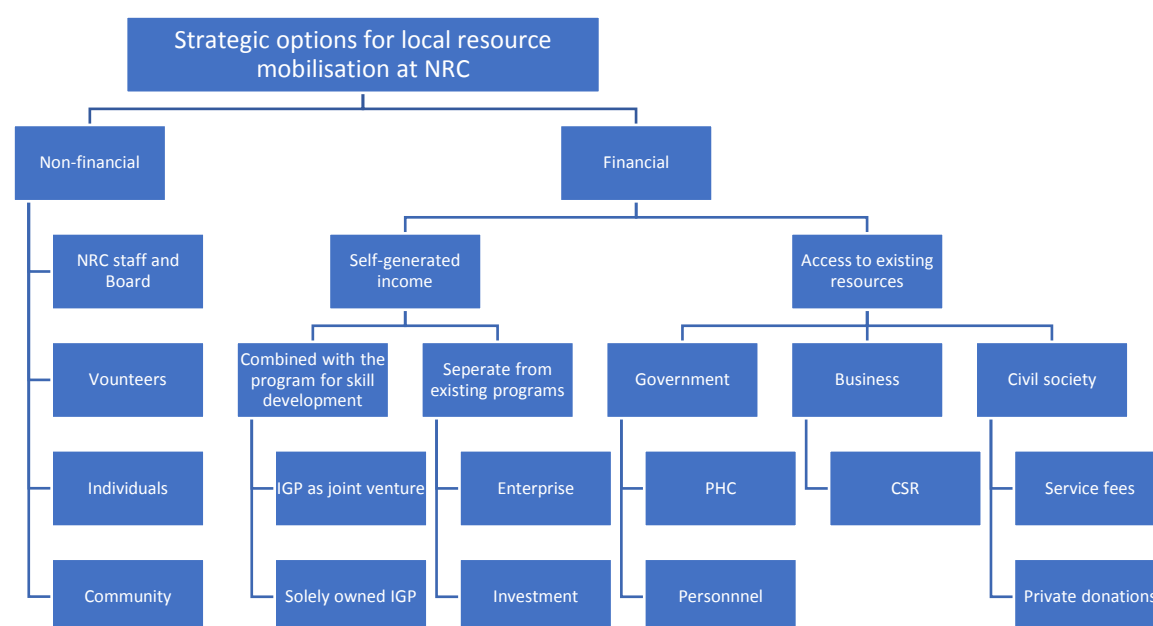


FIGURE 6.7: NRC OPTIONS IN RESOURCE MOBILISATION

(Source: adapted from Fowler 2000b:63)

Financial resources for the NRC can be mobilised by self-generation of income or through access to other existing sources of financial support. The start of an IGP is one option to generate resources in combination with the development program of NRC. The skills development of clients and families is one aim of holistic rehabilitation at NRC. On one hand, the start of an IGP could generate income and on the other hand, provide new opportunities to facilitate skills development of the target group. The IGP might be owned solely by the NRC or done in joint venture with other development parties. If the project cannot support the mission of the NRC it could be run as an enterprise or an investment in a business.

The support by the government in form of PHC funds or the placement of government-paid personnel at NRC would open the access to existing resources. Corporate social responsibility (CSR) is another option to gain support from the business sector. Service fees and private donations provide the NRC with resources from the civil society but in a limited way. The

adjustment of the service fees and the start of fundraising activities were recommended by the participants of this study.

6.3.2 Recommendations for the partnership

The recommendations for the partnership of the NRC and the NM result from the data analysis. The partnership influenced the impact of the NRC in many aspects. As already mentioned, organisational development, relationships, resources, and the creation of a learning culture are important factors for the sustainability of NRC. The partnership has a strong effect on these processes.

The characteristics of a successful partnership were highlighted under 3.4.1. Applicable advice for partnering, from the literature mentioned under 3.4.5, were included in the recommendations for the partnership between the NRC and the NM. Similar to the process of organisational change (Figure 6.6), a strategy for change in partnership follows a specific order. Firstly, desired results must be identified. Following this, strategies are chosen, and underlying assumptions defined (Knowlton & Phillips 2013:22). The desired result of change in the partnership of the NRC and the NM is to ensure improved impact of both partner organisations by improving the current practice of partnership.

The recommendations for this change concern the following strategies:

Assessment and review of partnership

Assessment of the partnership must include the partnership process itself. The key issues of partnering must be defined in order to develop a partnership that fosters organisational empowerment as explained under 3.4.6. These issues include: common goals, shared understanding of poverty and power, agreed principles for development and shared values on empowerment. Furthermore, equality in the way of working and mutuality that respect identity and position of each partner should be strong intention in the partnership. Partnership programs should be sustainable medium- to long-term in the particular context of the partnership. Possible changes in the enabling environment, for instance, better recognition of NRC by public authorities, should be considered to ensure sustainability. Above all, the partnership structure for the future must be clarified concerning governance and decision making, accountabilities, legal structure, financial arrangements, management structure, human capacity, reporting,

relationship management, communication and review processes. These issues should be clarified by and when renewing the MoU. (Brinkerhoff 2002a; Halper 2009; Hennink et al 2012)

The revision of the partnership agreement in a group of representatives from both organisations is recommended as it would provide opportunity to reflect on the value of the partnership. Consequently, partnership's activities and ways of working can also be revised. Resulting assessments may reveal needed changes that can improve the effectiveness of the partnership. The partnership's review procedures should ensure that sustainability remains a focus in the partnership's work and in the partners' priorities.

Building organisation capacity

The capacity development of the partner organisations might involve change of organisational culture, human resource development, dynamic networks, better communication and experiential learning. Furthermore, capacity building for autonomy and resource mobilisation should include plans for the transition and the diversification of funding.

Creating a learning culture

The inclusion of action learning, learning by doing and learning from mistakes in the culture of the partnership should be encouraged. The Board of the NM should take over the role of a facilitator and start being responsive to agendas of NRC and the target group. The NM should value and utilise the knowledge and expertise of its partner as an important contribution to the partnership.

Mutual understanding

Improvement in mutual understanding of the partners was recommended by the interviewees. Creating a quality partner conversation is highly recommended because the quality of conversations determines largely the effectiveness of the partnership. It was suggested to adjust the management of meetings and visits in a way that involves a broader range of staff of NRC in the relationship with the NM.

Further discussions to establish the partners' understanding of the concept of sustainability would be important. The discussions should focus on activities that will lead to sustainable outcomes beyond the life of the partnership. Mutual

understanding helps to embed the principle of sustainable outcomes into the partnership. Advisory partners should be involved when possible.

Action Planning

The partners must create planning processes to identify key players, aims and agree on outlines of programs and review arrangements. Again, sustainability should be woven into all aspects of the outline plan. A capacity-building aspect should be incorporated into the partnership's activities to ensure sustainability. In addition, indicators to measure sustainability must be identified. The partners should plan for increasing organisational autonomy of the NRC that aims at diversifying sources of funding and mobilising local resources.

Long-term arrangements

The partners must plan for long-term arrangements to sustain the outcomes of the partnership's activities and interventions. This includes not only to plan for long-term resourcing but also to adopt realistic, long-time goals with consistency and commitment. Furthermore, renewable and local resourcing arrangements must be sought. Long-term management must include the provision of leadership, resources, skills and needed infrastructure. Relevant key players and stakeholders must be involved and own the program. The implementation capacity must be secured, and the work of the partnership recognised, for future planning. According to Brehm (2004), Halper (2009) and Tennyson (2011) 'moving on' scenarios or the transition should be planned. They emphasise the following recommendations:

- Be inclusive (involve as many stakeholders as possible, engage support of senior management, share responsibility for the handover process, allow people to express emotions).
- Be transparent (discuss openly, record decisions, be honest about difficulties).
- Be clear (provide accurate information to all involved, address risks).
- Be patient (allow enough time for the 'moving on' process, take time to explore views and discuss with the partner).
- Be a good role model (behave considerately, be diligent in completing handover tasks, be prepared to let go). (Halper 2009:20)

6.3.3 Perspectives of the NM on the partnership

The first findings of the research were presented to the Board of the NM for further discussion about the continuation of the partnership with the NRC in March 2018. The aim of this presentation was to make the German organisation aware of the attitude of the Ugandan partner towards the partnership. The Ugandan organisation was aware and agreed to the purpose of the study. The exploration and presentation of the partner's attitude was done to increase the mutual understanding of the current situation of the partnership. The reactions of the Board are highlighted in the following section.

Since 2010 the continuation of the partnership with the NRC was challenged because of limited human resources. Since that time, the situation of the NRC changed significantly. Therefore, the NM was now committed to continue working with the NRC. However, the following challenges for the partnership were recognised:

- The stakeholders of the NRC and the NM expected the NRC to fail after the handover.
- The NRC seems to be content with accounting and reporting to the NM and is not aiming at more self-reliance.
- The capacity of the leadership of the NRC had not been well developed due to lack of an administration manager in the past.
- The current Board of the NRC is not able to lead the handover process.
- The financial sustainability of NRC is challenged by a low budget of NM.
- Stable resourcing for the NRC is dependent on donations.

Several strategies were discussed by the Board of the NM, and the following course of action was suggested. The NRC should work with a competent Board with capable members. In addition, networking in Uganda should be strengthened. The NRC should not rely on donations of the NM only. Raising awareness about children with disabilities and their needs should open ways for local financial support. Accordingly, the NRC will be encouraged to use its finances effectively and to mobilise local financial resources, for instance by starting an agriculture project. The NRC should work out a 5-year financial plan

which could be used for public relation activities that will inform donors about the needs of the NRC in Germany.

The Board of the NM suggested further that the NM clearly defines its understanding of partnership and its role as a future partner. The NM cannot guarantee financial support for the NRC because the NM relies on donations for the project; however, the NM will provide information for donors and friends of the NRC to raise support. The work group will play a further role as a champion of the partnership. During the next partner meeting the strategic plan for the NRC and the partnership will be discussed. This should include public relation activities and fund raising. The partnership agreement must be renewed and combine strategic and financial planning. Moreover, annual evaluations and necessary adjustment of the constitution of the NRC should be planned.

In conclusion, it was stated that the NM has changed its plan to phase-out of the partnership. The NM plans for a good handover although this process takes longer than expected. The NRC should be informed about the suggested strategies.

6.4 RECOMMENDATIONS FOR FURTHER RESEARCH

Further research should focus on opportunities for effective change of power relations between international NGOs and their Southern partners. The change from a resource dependent NGO to a civic network is suggested in the literature (Fowler 1997:234). However, options and results of change processes are not sufficiently researched yet. This aspect could be explored, and further strategies developed. This would provide a source of information for organisations that want to create changes in existing dependent partnerships.

Regarding the partnership of the NRC with the NM, further research could help to assess the effectiveness of this partnership. This could include the assessment of the agreed strategies for the partnership, for instance the system for monitoring and evaluation of the partnership. Furthermore, the role of the leadership and the process of capacity building of the leadership could be researched. Especially, as the process of transition provides a specific

context. Further research could explore which areas of leadership must be developed for a successful transition.

The NM would profit from research exploring the influence of their understanding of partnership on several cooperations with international partners.

Lessons learned from this case study could be compared with other cases and made known to a wider range of people. The comparison of this partnership with other NGO partnerships would be another research topic.

6.5 CONCLUSION

The aim of the study was to review the practice of partnership of Namutamba Rehabilitation Centre and the major donor in order to develop recommendations for the sustainability of the local organisation.

After a literature review on empowerment, NGO partnerships and organisational sustainability, the process of partnering between the NRC and the NM was explored. Achievements and challenges of the NGO partnership regarding the organisational sustainability of the NRC were identified by evaluating documents of the partners and listening to the views of staff and stakeholders of NRC in individual interviews and focus group discussions. Resulting from the data, strategies for organisational sustainability of NRC were recommended.

The study revealed how factors of the partnership of the NRC with the NM influenced the self-reliance of the NRC and its organisational capacity. The analytical technique of a logic model was used to analyse the case study evidence and present the results of this research.

The partnership of the NRC with the NM was characterised as a dependent partnership due to the power imbalance between the partners. Resource dependency played a big role in the organisational development of the NRC.

Sustainability is recognised as an important factor for organisational empowerment in the literature (Hennink et al 2012:206). The empowerment of the NRC is closely linked to its sustainability. All in all, the NRC and the NM should focus on empowering aspects of their partnership that will increase the

sustainability of NRC and create greater self-reliance of the NRC; and, to conclude, NRC and NM should attempt to create an authentic partnership that transcends the funding element.

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APPENDICES

APPENDIX A: LETTER OF INTRODUCTION

APPENDIX B: CONSENT FORM

APPENDIX C: INTERVIEW GUIDE

APPENDIX D: TRANSCRIPTS OF INTERVIEWS

APPENDIX E: FOCUS GROUP SCHEDULE

APPENDIX F: TRANSCRIPTS OF FOCUS GROUPS

APPENDIX G: MAXQDA ANALYSIS